Subcourse **Edition A**
ST 5002

Human Resources Management

Presented by The United States Army
Training and Doctrine Command

ST 5002, *Human Resources Management*
Student Assistance

Introduction

Student services counselors at the Army Institute for Professional Development (AIPD) and the subcourse authors will respond promptly to *administrative* inquiries or those concerning subcourse *content*.

***Administrative* inquiries**

Requests for
- enrollment extension.
- enrollment cancellation.
- reissue of subcourse materials.
- change of address, organization.

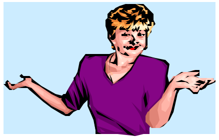
Problems with
- examination response sheet.
- enrollment.
- social security number (SSN).
- retirement-year-ending (RYE) date.

Making an *administrative* inquiry

E-mail	Send inquiry by e-mail: Address: teamb@atsc.army.mil
Telephone	DSN: 927-5715/2079 or 757-878-5715/2079
~~**Mail**~~	~~Use pre-addressed TRADOC Form 313-R to submit a written inquiry by mail. Form is found at the back of this text.~~

Note: Form not available as a downloadable document.

***Content* related inquiries**



Errors in Lesson or Examination
- Doctrine.
- Procedure.
- Incorrect or obsolete references.
- Typo or grammatical errors.

Confusing Information
- Contradiction.
- Redundancy.
- Too much or too little information.
- Too simple or too difficult.

Making an inquiry about *content*

E-mail	Send inquiry to Training at CPOCMA: Address: training@cpocma.army.mil Also courtesy copy to Civilian Leader Training: Address: attgil@monroe.army.mil
Telephone	DSN: 458-1711 or 410-306-1711
FAX	Use TRADOC Form 314-R at the back of this text and FAX it: DSN: 458-1776 or 410-306-1776
~~**Mail**~~	~~Use pre-addressed TRADOC Form 314-R to submit a written inquiry by mail. Form is found at the back of this text.~~

Note: Form not available as a downloadable document.

Use e-mail

For the quickest response use e-mail.

Subcourse ST 5002, *Human Resources Management*—Detailed Table of Contents

---

Front Matter

Student Assistance .... Inside Front Cover
Subcourse Overview ix
Organization and Format xi
Instructions xii

Lesson 1—Army Civilian Personnel Offices

Overview 1-1
Mission and Vision of Civilian Personnel Offices 1-2
Civilian Personnel Operations Center (CPOC) 1-3
Civilian Personnel Advisory Center (CPAC) 1-4
End-of-Lesson Exercises 1-5
Answer key and Feedback 1-6

Lesson 2—Position Classification

Overview 2-1
Responsibilities 2-2
Players 2-3
Terms 2-4
Position Description Contents 2-5
Career Patterns 2-6
Position Classification Standards 2-7
Preparing Position Descriptions 2-8
PD Library 2-9
COREDOC 2-10
Writing a PD from Scratch 2-11
End-of-Lesson Exercises 2-13
Answer Key and Feedback 2-14

Lesson 3—Staffing

Overview 3-1
Stages 3-2
Responsibilities 3-3
Terms 3-4
External Hiring Sources 3-5
Internal Placement Sources 3-6
Internal Placement and External Hiring Procedures 3-7
Merit Principles 3-8
Prohibited Practices 3-9
Employment Interviews 3-10
Tips for Assisting Employees 3-11
End-of-Lesson Exercises 3-12
Answer Key and Feedback 3-14

Continued on next page

Subcourse ST 5002, *Human Resources Management—* Detailed Table of Contents, Continued

---

Lesson 4—Human Resources Development (HRD)
Section A: HRD Management

Overview to Sections A and B....4-1
Purpose of HRD....4-2
HRD Roles for Supervisors....4-3
HRD Processes....4-4
HRD Policies....4-5
Financial Aspects of HRD Management....4-7
Transfer of Training....4-8
Transfer of Training Contract....4-9

Lesson 4—Human Resources Development (HRD)
Section B: Career Management

Career Fields and Career Programs (CF/CP)....4-10
ACTEDS....4-11
Career Planning Process....4-12
Career Counseling Interview....4-13
Career Counseling Tips....4-14
Civilian Leadership Development....4-15
End-of-Lesson Exercises....4-17
Answer Key and Feedback....4-18

Lesson 5—Performance Management

Overview....5-1
Performance Management Cycle....5-2
Performance Management Terms....5-3
Phase I: Defining Performance....5-4
Performance Standards....5-5
Defining Performance for *Base System* Employees....5-6
Defining Performance for *Senior System* Employees....5-7
Phase II: Developing Performance....5-8
Progress Review....5-9
Phase III: Reviewing Performance....5-10
Appraising *Base System* Employees....5-11
Appraising *Senior System* Employees....5-12
Lesson Summary....5-13
End-of-Lesson Exercises....5-14
Answer Key and Feedback....5-16

Continued on next page

Subcourse ST 5002, *Human Resources Management—* Detailed Table of Contents, Continued

Lesson 6—Incentive Awards

Overview 6-1
Incentive Awards Programs 6-2
Types of Awards 6-3
Performance Award 6-4
Quality Step Increase 6-5
Special Act or Service Award 6-6
On-the-Spot Award 6-7
Time Off Award 6-8
Honorary Awards 6-9
Other Forms of Recognition 6-10
Managing an Awards Program 6-11
End-of-Lesson Exercises 6-13
Answer Key and Feedback 6-14

Lesson 7—Managing Discipline and Poor Performance

Overview 7-1
Army Philosophy on Discipline 7-2
The Disciplinary Process 7-4
Oral Admonishment and Oral Reprimand 7-5
Written Reprimand 7-6
Suspension 7-7
Removal 7-9
Douglas Factors 7-10
Poor Job Performance 7-11
Opportunity to Improve 7-12
End-of-Lesson Exercises 7-14
Answer Key and Feedback 7-16

Lesson 8—Labor Relations

Overview 8-1
Legal and Regulatory Basis 8-2
Resolving Labor Issues 8-3
Terms 8-4
Management Rights and Negotiable Issues 8-6
Unfair Labor Practices 8-8
Meetings and Discussions 8-9
End-of-Lesson Exercises 8-10
Answer Key and Feedback 8-12

Continued on next page

Subcourse ST 5002, *Human Resources Management*— Detailed Table of Contents, Continued

---

Lesson 9—Complaints, Grievances, and Appeals

Overview 9-1
Types of Complaints, Grievances, and Appeals 9-2
Administrative Grievance System 9-3
Administrative Grievance System Procedure 9-4
Negotiated Grievance Procedure 9-5
Merit System Protection Board—Appeal Process 9-6
End-of-Lesson Exercises 9-7
Answer Key and Feedback 9-8

Lesson 10—Hours of Work and Leave

Overview 10-1
Supervisory Responsibilities 10-2
Terms 10-3
Overtime 10-4
Types of Leave 10-5
Annual Leave 10-6
Sick Leave 10-7
Sick Leave Abuse 10-8
Special Programs 10-9
Tips for Leave Administration 10-10
End-of-Lesson Exercises 10-11
Answer Key and Feedback 10-14

Lesson 11—Army Programs
Section A: Special Programs

Overview 11-1
Safety 11-2
Wellness in the Workplace 11-3
Equal Employment Opportunity (EEO) 11-4
Security 11-6
Employee Assistance Program 11-7
Management Controls 11-8

Continued on next page

Subcourse ST 5002, *Human Resources Management*—Detailed Table of Contents, Continued

---

Lesson 11—Army Programs
Section B: Taking Care of Soldiers

Overview 11-9
Military Duties 11-10
Morale and Welfare 11-11
Military Discipline 11-12
Evaluation Reports and Promotions 11-13
Recognition and Awards 11-14
End-of-Lesson Exercises 11-16
Answer Key and Feedback 11-18

Appendices

A—Core Supervisory Competencies A-1
B—Terms and Abbreviations B-1

Back Matter

Final Examination FE-1
~~Student Administrative Inquiry Form (TRADOC Form 313-R) ....Next to Last Page~~
~~Student Subcourse Content Inquiry Form (TRADOC Form 314-R) ....Last Page~~

Note: These forms are not available in the downloaded version of this subcourse.

Subcourse ST 5002, *Human Resources Management*—Subcourse Overview

Introduction

This map provides general information about this subcourse.

Purpose

To provide basic skills in human resources management (HRM).

Edition/date

Edition A, December 1998.

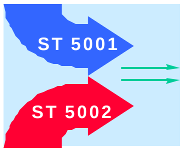
Supervisor Development Course (SDC) (131 F21)

This subcourse is one of two comprising the *Supervisor Development Course* (SDC):

- Subcourse ST 5001, *Managing and Leading*.
- Subcourse ST 5002, *Human Resources Management*.

Note: These two subcourses replace SDC, ST 5000, which is now obsolete.

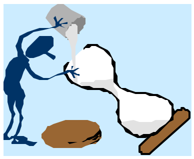
Requirement



To satisfy requirements for completion of the new SDC, you must complete both subcourses. Normally, both will be sent to you as a set when you enroll.

Exception: If you wish, you may enroll in a single subcourse, but you'll receive credit for that subcourse only.

Credit hours



The Army Institute for Professional Development (AIPD) awards 18 credit hours for successful completion of this subcourse. Credit hours awarded are based on estimated time it takes to complete requirements.

Credit hours are a basis for awarding military promotion and retirement points.

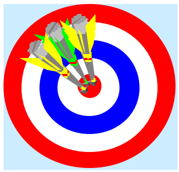
Proponent

Headquarters, US Army Training and Doctrine Command
Deputy Chief of Staff for Training
ATTN: ATTG-ILC
Fort Monroe, VA 23651-5000

Continued on next page

Subcourse ST 5002, *Human Resources Management*— Subcourse Overview, Continued

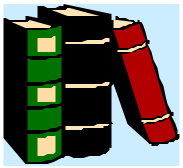
Target Audience



Mandatory Enrollment: AR 690-400, Chapter 410 requires new (first time) supervisors who supervise *DA civilian employees* to complete this subcourse and its companion, ST 5001, *Managing and Leading*. This includes military supervisors who have civilian subordinates.

Open Enrollment: However, this subcourse isn't limited to supervisors. It's open to any federal employee and military members of all services.

Doctrine



Content drawn from

- Office of Personnel Management and DA personnel proponents.
- formal and informal procedures in current use.
- cited references.
- subject matter experts.

Exceptions

We don't do it that way!

Here, we suggest techniques generally practiced throughout our Army and other institutions. However, some will argue, "That's not how we do it where I work."

Exceptions occur because organizations are shaped by their mission, functions, local customs, or the commander's personality.

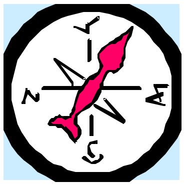
When in doubt follow official publications and SOP.

Subcourse ST 5002, *Human Resources Management*—Organization and Format

Introduction

This map explains how we've organized and formatted the text.

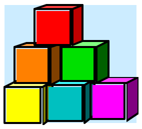
Maps



To guide you on a clear learning path, we've used Information Mapping techniques and graphics to design a visually appealing and readable text:

- Lessons are formatted as *information maps*, with each treating a single topic.
- In most cases map content doesn't exceed one page.
- Map titles appear in bold print at the top of each page.
- Definitions or other emphasized words are underlined or *italicized*.
- Graphics serve as visual metaphors to reinforce learning.

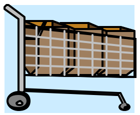
Blocks



Maps contain *information blocks*.

- Chunks of information directly tied to the main topic.
- Blocks have bold titles at the left margin of the page.
- Horizontal lines (ceilings and floors) mark the top and bottom of each block.

Lesson content



Each lesson contains

- table of contents.
- information maps.
- self-graded exercises.
- answer key with feedback.

Gender

For simplicity and ease of presentation, we use masculine genders of singular pronouns to refer to both sexes.

Likewise, graphic illustrations are generic. We use them to promote interest and aid comprehension for visual learners.

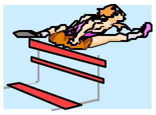
Subcourse ST 5002, *Human Resources Management—* Instructions

---

Introduction This map provides instructions and study tips.

Objective

Terminal learning objective (action, condition, and standard):

Action 	You'll use techniques to enable you to • apply HRM processes to your organization. • establish partnerships with CPAC and CPOC staffs. • assist subordinates in their professional growth.
Condition	You'll use this text, which contains explanations, examples, and self-graded exercises. You may seek assistance from your supervisor and staff experts.
Standard	To earn credit you must score at least 70 percent on the final exam.

Instructions

Please follow instructions outlined below:

Lessons & exercises	This text contains 11 lessons with self-graded exercises. To gain maximum benefit, study all lessons and complete the exercises.
References	This text contains all the information needed to complete the exercises and final examination. Use references for further study.

Study tips

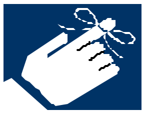
To get the most from the text, follow these tips:

Step	Action
1	Scan the table of contents to familiarize yourself with the text.
2	Start each lesson by reviewing its objectives and table of contents.
3	Study the entire lesson.
4	Work the exercises and check your answers.

Recognition

Soldiers and DA civilians:
Use your training accomplishment to gain recognition. List the Supervisor Development Course as a performance objective on your support form. After completing it, remind your boss to note it on your evaluation report.

Reminder



Reminder for DA civilians:
After receiving your certificate of completion, contact your training coordinator for procedures on documenting your training and having it credited to your records.

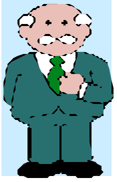
Lesson 1—Army Civilian Personnel Offices

Overview

Introduction

This lesson briefly describes the structure and functions of Army civilian personnel offices.

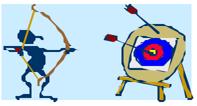
Rationale



The Army has targeted the civilian personnel function for streamlining. This has come about because of

- long-standing concerns of customers.
- the need to improve delivery of personnel services.
- the development of automated tools for managers responsible for human resource development.

Objectives



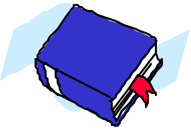
- Identify four civilian personnel management functions.
- Distinguish among functions at regional and local personnel centers.
- Identify proper point of contact for various functions.

In this lesson

This lesson contains the following topics:

Topic	See Page
Mission and Vision of Civilian Personnel Offices	1-2
Civilian Personnel Operations Center (CPOC)	1-3
Civilian Personnel Advisory Center (CPAC)	1-4
End-of-Lesson Exercises	1-5
Answer key and Feedback	1-6

Terminology



We use the terms, “Civilian Personnel Management” and “Human Resources Management (HRM)” interchangeably throughout the text.

However, the former is gradually giving way to the more contemporary term, “Human Resources Management” or “HRM.”

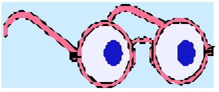
Mission and Vision of Civilian Personnel Offices

Introduction

This map defines the vision and missions of Army civilian personnel offices. These offices are now configured as

- Civilian Personnel Operations Centers (CPOCs).
- Civilian Personnel Advisory Centers (CPACs).

ASA vision



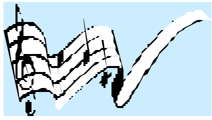
Deputy Assistant Secretary of the Army for Civilian Personnel Policy (Manpower & Reserve Affairs) holds this vision for the civilian personnel community:

“Army civilian personnel professionals helping leaders meet the mission."

Strategic goal

The strategic goal of human resource management is to recruit, develop and retain a quality workforce to meet an organization’s mission.

HR themes



Two themes in human resource management:

- Recruiting, placing, and retaining quality, representative employees.
- Maximizing personal and organizational performance, both short and long term.

CPOCs and CPACs

CPOCs: Ten regional CPOCs, located in the United States and overseas, manage personnel functions and actions that don’t normally require face-to-face contact with customers.

CPACs: Local HRM activities, usually situated at installations, that provide day-to-day support for human resources management.

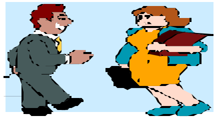
CPOC mission

Mission
Statement

Mission:

- Recruitment and placement.
- Position classification.
- Information systems management.
- Human resource development (HRD).
- Maintenance of employee records.

CPAC mission



Mission:

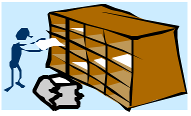
- Advise and serve installation clients on human resources issues.
- Provide all management-employee and labor relations services.
- Advise clients on any human resources topic.

Civilian Personnel Operations Center (CPOC)

Introduction

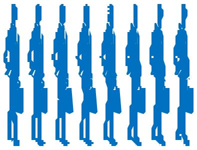
This map describes CPOC functions.

Position classification



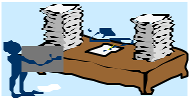
Functions:
- Classifies or processes position descriptions (PD) after the supervisor and CPAC have considered position management issues.
- Applies new classification standards.
- Advises CPACs.

Staffing



Functions:
- Manages recruitment, merit promotion, and placement actions.
- Provides lists of eligible applicants.
- Assures proper pay setting and benefits administration.
- Advises CPACs.

Personnel actions



Functions:
- Processes awards, performance appraisals, appointments, promotions, and other personnel actions.
- Maintains employee's official personnel folder (OPF).

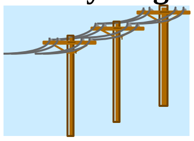
HRD

Needs
Needs
Needs

Human Resources Development (HRD).

Functions:
- Manages training needs assessments for standardized, regional training.
- Processes completed training.
- Advises CPACs.

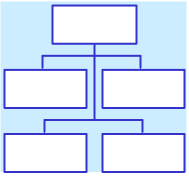
Info Sys Mgt



Information systems management.

Functions:
- Manages electronic connections to the CPOC.
- Provides deployment training on automated systems.

Structure



CPOC director supports commanders on a variety of civilian personnel matters. The director delegates work to CPOC division chiefs:
- Position Classification.
- Staffing Services.
- Human Resource Development.
- Information Systems Management.

Civilian Personnel Advisory Center (CPAC)

Introduction

This map describes CPAC functions and services they provide. CPAC and its clients are partners in providing HRM services.

CPAC helps clients make decisions through HRM programs and systems.

Contact

Contact CPAC on HRM matters when you can't resolve them yourself.

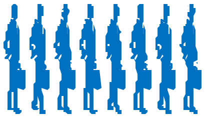
CPAC can determine if you should submit an official personnel action request, fill out a form, or consult another source.

Position management

Advises or trains customers in

- classification principles.
- job and organizational design.
- selecting, editing, or creating position descriptions.

Staffing



Advises and trains customers on

- recruitment, placement, and merit promotion.
- reorganization or reduction in force (RIF).
- mobilization planning.

Labor, management, and employee relations

- Assists labor, management, and employees in resolving disputes, preventing grievances, or negotiating impasses.
- Participates in third-party hearings.
- Advises on performance management, adverse actions, and awards.

HRD

- Trains supervisors in HRD systems and programs to enable them to carry out employee development functions.
- Helps supervisors assess and provide for mission-unique training.
- Assists customers with automated training request systems.
- Coordinates training programs with CPOC.

Benefits administration and technical services

- Advises customers on career management and benefit decisions.
- Coordinates in-processing.
- Researches HRM questions.
- Assists with retirement planning or application.

Lesson 1—End-of-Lesson Exercises

Instructions

Match each function with the organization having primary responsibility.

Function	CPOC	CPAC
1. Doesn’t require face-to face contact with customers.		
2. Usually situated at installations.		
3. Provides all labor relations services.		
4. Processes classified position descriptions.		
5. Maintains employee’s official personnel folder.		
6. Trains customers on mobilization planning.		
7. Participates in third-party hearings.		
8. Advises customers on career decisions.		

Lesson 1—Answer Key and Feedback

Instructions

Correct answers and page references cited below.

Function	CPOC	CPAC
1. Doesn’t require face-to face contact with customers.	X	
2. Usually situated at installations.		X
3. Provides all labor relations services.		X
4. Processes classified position descriptions.	X	
5. Maintains employee’s official personnel folder.	X	
6. Trains customers on mobilization planning.		X
7. Participates in third-party hearings.		X
8. Advises customers on career decisions.		X

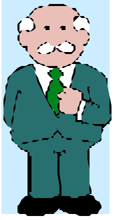
Question	Page	Information Block
1	1-2	CPOCs and CPACs
2	1-2	CPOCs and CPACs
3	1-2	CPAC mission
4	1-3	Position classification
5	1-3	Personnel actions
6	1-4	Staffing
7	1-4	Labor, management, and employee relations
8	1-4	Benefits, admin, and tech services

Lesson 2—Position Classification Overview

Introduction

This lesson explains the position classification process and provides instructions for preparing position descriptions (PD).

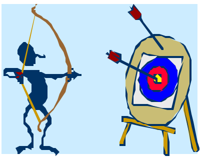
Rationale



Position Classification is the process of defining a position's title, series, and grade. Process must be consistent with laws, OPM classification standards, and guides. Position classification forms the basis for personnel management.

Streamlining and regional consolidation of Human Resources functions have resulted in supervisors becoming directly responsible for position classification. They now decide a position's pay plan, title, series, and grade.

Objectives



- Describe classification responsibilities of supervisors.
- Identify players and describe roles in the classification process.
- Use various formats to develop position descriptions.
- Consider career patterns when developing position descriptions.
- Use three procedures to develop position descriptions.

In this Lesson

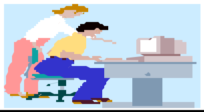
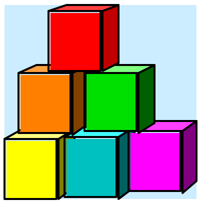
This lesson contains the following topics:

Topic	See Page
Responsibilities	2-2
Players	2-3
Terms	2-4
Position Description Contents	2-5
Career Patterns	2-6
Position Classification Standards	2-7
Preparing Position Descriptions	2-8
PD Library	2-9
COREDOC	2-10
Writing a PD from Scratch	2-11
End-of-Lesson Exercises	2-13
Answer Key and Feedback	2-14

Responsibilities

Introduction

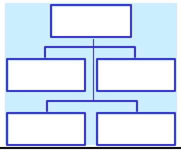
This map describes classification responsibilities of most supervisors:

Responsibility	Description
Determine requirements 	Evaluate • current and future workload. • work methods. • manpower constraints. • technology. Determine number, type, grade level, and developmental needs of existing and vacant positions.
Assign work 	Classify a job by • type of work. • level of responsibility.
Develop PDs 	Ensure position descriptions (PD) accurately reflect duties for pay and position management. Avoid and rectify mis-assignments. Note: An employee can grieve an inaccurate position description, and the supervisor who wrote it can be held responsible.
Use automated systems	Use automated systems to submit personnel actions. Writing a position description may only take ten minutes using the PD Library or COREDOC.
Classify PDs 	Some supervisors are delegated authority to classify position descriptions (see page 2-4). Supervisors must explain the basis of the pay system, title, series, and grade for every position supervised. This includes handling position classification complaints by employees.
Determine types of pay 	Determine need for and authorize • environmental differential pay. • hazard pay.
Uphold laws 	Uphold Fair Labor Standards Act & Title 5, USC. Protect all employees from abuse or inequity. Ensure equal pay for equal work.

Players

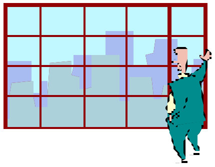
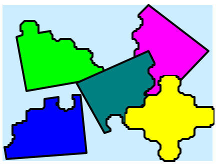
Introduction

This map identifies players and describes their roles in the position management and classification (PM&C) process:

Player	Role
Commander 	Commander • serves as the organization's position management officer. • delegates classification authority to subordinate managers. • settles classification disputes. • issues local policies and regulations.
Supervisor 	Supervisor performs key PM&C functions: • Determines manpower requirements. • Assigns work. • Selects, revises, or writes position description. • Explains classification to employees. • If authorized, classifies PDs for employees.
CPAC generalist	CPAC generalist • advises customers on job and organizational design. • reviews position descriptions for adequacy. • advises customers on classification complaints or appeals.
CPOC specialist	CPOC specialist • classifies new positions and processes personnel actions. • applies new position classification standards.
MACOM 	MACOM staff • advises installation commanders and CPAC. • issues guidance. • conducts assistance visits. • publicizes HR programs.
Employee 	Employee • may provide input to PD development. • has the right to appeal a position's classification. • can grieve PD's accuracy.
OPM 	Office of Personnel Management (OPM) • announces publication of new or revised classification standards. • issues guidance to managers and classifiers. Note: OPM cannot change the classification system or GS grade levels, because they're grounded in law and changed only by legislation.
Union	The union represents employees in grievances concerning a PD's content or accuracy.

Terms

Introduction This map defines key terms related to position management and classification:

Term	Definition
GS occupations 	General Schedule (GS) occupations: • Professional. • Administrative. • Technical. • Clerical. • Other (Examples: police, firefighters, pilots).
GS major duty	Major duty occupies at least 25 percent of work time or requires a significant knowledge, skill, or ability (KSA).
FWS occupations 	Federal Wage System (FWS) occupations: • Wage Grade (WG)—unskilled, semi-skilled, or skilled. • Wage Leader (WL)—working or training leaders. • Wage Supervisor (WS)—first-level or reviewing-level supervisor.
FWS major duty	Major duty is regular, recurring, not of an emergency nature.
Other groups 	Other occupational groups: • Senior Executive Service (SES). • Senior Level. • Non-Appropriated Fund. • Various prevailing rate positions.
Position classification 	Position classification is determination of • pay system. • occupation or series, grade level, and official title. • codes, including Fair Labor Standards Act (exempt or non-exempt). • supervisory status for labor relations.
Position management	Organizational and job design when you consider the relationship among two or more positions.
Delegated Classification Authority (DCA)	Army policy permits agencies to delegate classification authority to supervisors. This includes authority to determine and certify title, pay plan, series, and grade of civilian positions. To view policy letter visit *Army Civilian Personnel Online*: cpol.army.mil Purpose is to enhance personnel management authority of supervisors, by providing maximum control over positions in their organizations. Commanders must delegate classification authority in writing.

Position Description Contents

Introduction This map describes narrative contents in various position description formats:

Format	Narrative Contents
GS	• Supervisory controls—procedures for assigning, supervising, and evaluating work. • Major duties including estimated percent of time for each. • Closing statement, "Performs other duties as assigned."
Wage Grade (WG)	• Major duties. • Followed by, "Performs other duties as assigned." • Skill and knowledge. • Responsibility. • Physical effort. • Working conditions.
Factor Evaluation System (FES)	Used for most non-supervisory GS positions: • Major duties. • Followed by, "Performs other duties as assigned." • Nine factors, each of which is worth points. • To earn points, position must fully meet Factor Level Description (FLD) of the standard. • Total points determine grade.
GS Supervisory Guide (GSSG)	• Pre-existing PD with six factors added. • Factors rated by point level per GSSG factor descriptions. • Total points determine grade.
Wage Supervisor (WS)	• Supervisory controls (assigning, supervising, evaluating work). • Major duties including estimated percentage of time for each. • Sub-paragraphs on planning, work direction, administration. • Closing statement, "Performs other duties as assigned."
Wage Leader (WL)	• Supervisory controls and major duties. • Followed by, "Performs other duties as assigned." • Four WG factors describe work led and personally performed.
Mixed formats	Positions with mixed duties, each graded with a different standard. Content reflects position's grade-controlling duties. Note: COREDOC writes non-supervisory GS positions in FES format. PD Library contains proper PD format.

Team Leader Guide For guidance on team leader positions, review *The Team Leader Guide* (1 Apr 98) issued by OPM. Guide discusses

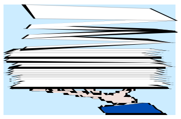
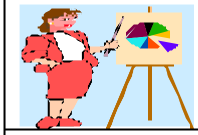
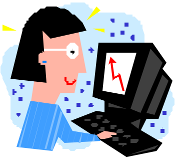
- criteria for positions that lead administrative and professional employees.
- occupational information describing team leader functions.
- differences between team leaders and supervisors.
- concerns about establishing positions for team leaders.

Career Patterns

Introduction This map describes occupational career patterns.

Patterns Classification is easier if you consider occupational career patterns. When writing PDs, consider career patterns.

Table This table outlines types of career patterns and grades:

Type	Position Pattern	Typical Grade
Clerical 	Procedural (filing and typing).	GS-03
	Subject matter. Examples: personnel or procurement clerks.	GS-04 or 05
	Expert clerks or leaders.	Up to GS-06
Technical 	Entry level—gather and format data.	GS-04 or 05
	Independent—authority to make decisions.	GS-06 or 07
	Highly technical or leader.	GS-08
Admin 	Entry level (trainee).	GS-05 or 07
	Independent level.	GS-09 or 11
	Senior level or expert.	GS-12 or 13
	Supervisory.	GS-11 to 15
Professional	Same as administrative patterns in most cases.	See Admin
Wage Grade 	Unskilled.	WG-1 to 3
	Semi-skilled.	WG-4 to 7
	Skilled.	WG-8 to 15
	Helpers.	WG-05

Position Classification Standards

Introduction

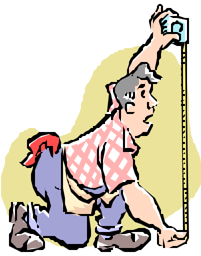
This map briefly describes how to apply classification standards.

Standards

Office of Personnel Management publishes most position classification standards.

DoD and DA publish other standards such as those for the
- Non Appropriated Fund System (NAF).
- Civilian Intelligence Personnel Management System (CIPMS).

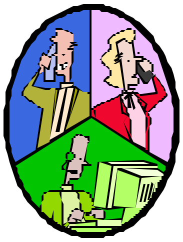
Applying standards



To apply classification standards when selecting a PD, follow these steps:

Step	Action
1	Identify type of position. Examples: supervisor or journeyman.
2	Select range of potential grades (one or two).
3	Compare job facts to classification factors.
4	Estimate probable grade level.
5	Select position description classification.

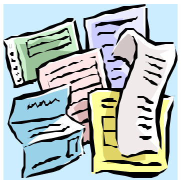
Assistance



CPOC or CPAC staff can assist in refining a classification.
- CPAC generalist advises on position management decisions.
- CPOC classifier can identify unanticipated classification problems.

While experts can assist, they rely on who knows most about the position and its demands—the supervisor. He's ultimately responsible for selecting the position description classification.

Accessing or creating PDs



Position description may be
- downloaded from PD Library.
- photocopied.
- created with COREDOC.
- written "from scratch."

Tip: Use the PD Library and COREDOC to select or edit position descriptions. This will save many hours of research and processing time.

Preparing Position Descriptions

Introduction This map describes a general procedure for preparing PDs.

When to use

Use this procedure when

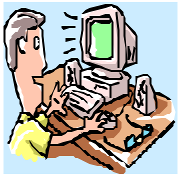
- current position description isn't accurate.
- creating one or more new positions.

Procedure

To prepare a new position description, follow these steps:

Step	Action
1	Gather and review information: · Previous PDs and performance plans. · Mission statement. · Input from current or previous employees.
2	Determine probable classification: FWS or GS. Identify type of position and desired grade level.
3	Based on decisions in Step 2, search the PD Library for likely PDs. If able to find a suitable PD • select and download PDs that show promise. • revise PDs to match needs. • go to Step 7 when finished. If unable to find a suitable PD, go to Step 4.
4	If the PD Library didn't yield a suitable PD, then • access COREDOC. • select, edit, or write a PD per instructions. • go to Step 7 when finished. If unable to find a suitable PD, go to Step 5.
5	If COREDOC didn't yield a suitable PD, write major duties yourself: · Define and describe duties. · Consolidate duties requiring less than 25 percent of work time. · Select classification standard and write required job factors.
6	Check classification standard to determine probable grade. If the classification is a close match, use it. If not, consult CPAC.
7	Obtain signatures, prepare personnel action request, and send forward.

Tips



To prepare good position descriptions, follow these tips:

- Use PD Library or COREDOC for small changes but don't alter job's intent.
- Ensure major duties are accurate and suitable.
- Consider position management principles of sound job design.
- Edit the draft PD to eliminate jargon, acronyms, and form numbers.
- Ask CPAC for assistance.

PD Library

Introduction This map explains how to use the PD Library to prepare a position description.

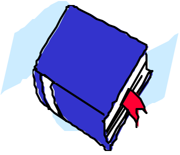
Procedure To use the PD Library to prepare a position description, follow these steps:

Step	Action
1	Access Civilian Personnel Online at this Web site: cpol.army.mil
2	From the menu select "Position Description (PD) Library." You will now be at the PD Library Web site.
3	Select "Search" to look for the desired PD.
4	Enter one or more of parameters for the PD: • Series or occupation. • Grade level. • Installation. • Region. • MACOM. • Key word. • Pay plan. • PD number.
5	When the search list appears, click on the position description you wish to review.
6	To download and edit a PD, click the "Download" button on the first page of the PD. Follow instructions to save the PD file to your PC or network.
7	Edit downloaded PDs.
8	Print PD and obtain signatures on DA Form 374 (PD cover sheet).

COREDOC

Introduction This map explains how to use COREDOC to prepare a position description.

Definition



COREDOC is an automated tool enabling the user to produce a single (core) document consisting of

- a position description (PD) with a classification evaluation.
- performance plan.
- knowledges, skills and abilities (KSAs) for recruitment and merit promotion.

Note: COREDOC is a DoD system, and Army policy requires its use.

Procedure To use COREDOC, follow these steps:

Step	Action
1	Access COREDOC per procedures at your installation.
2	Determine if your installation or organization has standardized PDs suitable for your needs. If they're not available or suitable, go to Step 3.
3	Search for desired GS or WG occupation. You may search by series number or occupational title. You may also scroll down the available list in COREDOC.
4	Select desired occupation.
5	Follow COREDOC window instructions to prepare the PD. Make menu selections for the tasks to be assigned. Determine grade level complexity for tasks. Edit statements that don't fit your requirement.
6	Adjust percentages of time assigned to major duties and tasks if required. The software uses these percentages to calculate grade level.
7	At the prompt enter • organizational information. • special requirements. • position performance standards.
8	When finished, view the PD. Edit draft PD by returning to its location on the menu.
9	Print final PD and obtain signatures.

Writing a PD from Scratch

Introduction This map explains how to write a PD when PD Library and COREDOC aren't available or useful.

Procedure To write a PD, follow these steps:

Step	Action
1	Verify that you need a new PD. Alternatives: Prepare a statement of difference for a position one or two grades lower than an existing PD. Prepare a PD amendment to make minor changes in the PD that don't affect its classification. Change an existing PD (percentage of time on major duties, location . . .).
2	Define work to be assigned to the position.
3	List major duties.
4	Describe each major duty.
5	Estimate percentage of time spent on each major duty.
6	Add the statement, "Performs other duties as assigned." at the end of the major duties description.
7	Select position classification standard that covers the position's work.
8	Determine additional job factors: Examples: • Supervisory controls for narrative GS positions. • The four WG factors for WG positions. • The nine FES factors for some GS positions. • The six GSSG factors for GS supervisory positions. • Other information required by the standard.
9	For FES or GSSG positions, evaluate each factor by point level. Position classification standards allot points for each factor level description. Note: Army policy requires evaluation statements explaining the rationale for determining title, series, or grade of positions that are • FES. • controversial or precedent setting. • appealed by the employee.
10	Consult with CPAC or other experts to verify PD's adequacy.
11	Obtain signatures on the final PD.

Lesson 2—End-of-Lesson Exercises

Instructions Answer TRUE or FALSE.

________ 1. An employee may grieve an inaccurate position description.

________ 2. OPM can change the GS classification system.

________ 3. Supervisors define a PD's content but employees and CPAC can assist.

________ 4. GS occupations include professional, administrative, and technical positions.

________ 5. A major duty in a GS position must represent at least 10 percent of work time.

________ 6. A GS narrative position description must describe supervisory controls and major duties.

________ 7. Professional career patterns differ substantially from administrative career patterns.

________ 8. CPOC specialists rely on supervisors to submit accurate position descriptions.

________ 9. CPAC is ultimately responsible for selecting the position description classification.

________10. When preparing a position description, consolidate duties requiring less than 25 percent of work time.

Lesson 2—Answer Key and Feedback

Instructions Correct answers and page references cited below.

TRUE 1. An employee may grieve an inaccurate position description.
(Page 2-2, Develop PDs)

FALSE 2. OPM can change the GS classification system.
(Page 2-3, OPM. Classification changes require legislation.)

TRUE 3. Supervisors define a PD's content but employees and CPAC can assist.
(Page 2-3, Employee block)

TRUE 4. GS occupations include professional, administrative, and technical positions.
(Page 2-4, GS occupations)

FALSE 5. A major duty in a GS position must represent at least 10 percent of work time.
(Page 2-4, GS major duty)

TRUE 6. A narrative GS position description must describe supervisory controls and major duties.
(Page 2-5, GS narrative)

FALSE 7. Professional career patterns differ substantially from administrative career patterns.
(Page 2-6, Professional)

TRUE 8. CPOC specialists rely on supervisors to submit accurate position descriptions.
(Page 2-7, Assistance)

FALSE 9. CPAC is ultimately responsible for selecting a position description classification.
(Page 2-7, Assistance)

TRUE 10. When preparing a position description, consolidate duties requiring less than 25 percent of work time.
(Page 2-8, Step 5)

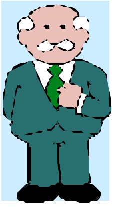
Lesson 3—Staffing

Overview

Introduction

This lesson explains staffing concepts and procedures.

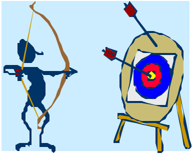
Rationale



The supervisor plays a major role in the staffing process, particularly in defining manpower requirements and interviewing and selecting candidates.

Thorough knowledge of the staffing process is essential to good hiring decisions. Otherwise one risks making a bad hiring decision, which may bring lasting negative consequences.

Objectives



Identify at least three
- supervisory responsibilities for staffing.
- steps in external hiring process.
- steps in internal placement process.

Determine an effective course of action in at least two staffing situations.

In this lesson

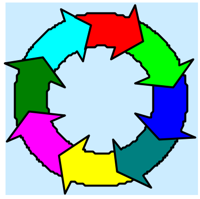
This lesson contains the following topics:

Topic	See Page
Stages	3-2
Responsibilities	3-3
Terms	3-4
External Hiring Sources	3-5
Internal Placement Sources	3-6
Internal Placement and External Hiring Procedures	3-7
Merit Principles	3-8
Prohibited Practices	3-9
Employment Interviews	3-10
Tips for Assisting Employees	3-11
End-of-Lesson Exercises	3-12
Answer Key and Feedback	3-14

Stages

Introduction This map briefly describes stages in the staffing process.

Stages This table summarizes the stages in filling a vacant position.

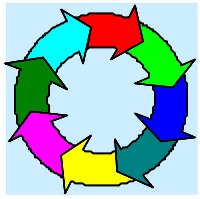


Stage	Description
1	**Determine staffing need:** Supervisor consults CPAC or colleagues to determine a staffing strategy in this “pre-staffing” stage.
2	**Select or prepare a Position Description (PD):** Use classification tools described in Lesson 2. • Existing PDs. • PD Library. • COREDOC.
3	**Submit official personnel request:** Attach PD to an electronic (PERSACTION) or hard-copy request (SF-52). The request specifies hire, promotion, reassignment, detail, or other action.
4	**Classify position:** CPOC reviews the personnel request and PD and classifies the position. Note: This authority is delegated to some managers.
5	**Initiate staffing process:** Based on the supervisor’s decision at Stage 1, CPOC initiates an external or internal staffing process, or both.
6	**Select for hire:** Based on the candidates obtained from CPOC • supervisor makes a final selection. • CPAC offers position to selected candidate. • CPOC processes the personnel action.
7	**Start in-processing:** CPAC arranges for • employee notification. • security clearance. • first-day orientation and processing. • registration for benefits. CPOC creates an official personnel folder (OPF).

Responsibilities

Introduction This map describes typical staffing responsibilities of supervisors. Local policies may define additional responsibilities.

Stages



This table lists several staffing responsibilities of supervisors:

Responsibility	Description
Requirements determination	Review - filled and vacant positions. - current and future workload. - budget or manpower space constraints. - unit "skill mix."
Work planning and direction	Plan effective work flow in the unit, matching of employee skill levels with work requirements. Leverage human resources with technology and automation.
Position management	Correct employee misassignments. Utilize effective job and organizational design.
Position classification	Select, edit, amend, or write PDs to reflect the requirements of filled and vacant positions.
Initiate personnel actions	Initiate personnel requests. Examples: - Hire. - Detail. - Reassignment. - Promotion. - Change-to-lower grade.
Candidate evaluation	Identify knowledge, skills, and abilities (KSAs) required. Review applications or resumes. May prepare for and conduct employment interviews.
Selection	Make best selection from available sources.
Employee counseling	Regularly provide subordinate employees career information, feedback, and advice.
New employee orientation	Orient new employees on the organization, including policies, standards of conduct, and performance expectations.
Status reporting	Use automated HR systems to track and report status of personnel actions.
Career Field/ Career Program (CF/CP)	Serve as subject matter expert on career development needs: - Registration. - Professional development. - Long-term training. - Career referral.

Terms

Introduction This map defines key terms in the staffing process.

Term	Definition
Hire or recruit	Official request to fill a vacant position.
Noncompetitive detail	Temporary assignment (with no higher level of pay) to either • a set of duties (unestablished position), or • an official position. Note: To meet short-term requirements a person may be given a "verbal detail." This requires no paperwork or further action. Check with CPAC to determine time limits that the local promotion plan and labor agreement may set.
Competitive detail	Details exceeding 120 days to a higher-grade position are filled through merit promotion (see your local merit promotion plan).
Competitive promotion	Candidates compete for selection through a structured process based on merit.
Reassignment	Permanent assignment to a different position in the same grade. Position could also be a different series or title.
Temporary promotion	Promotion limited to five years or less. If limited to 120 days or less, the promotion may be noncompetitive.
Permanent promotion	Promotion with no time restriction.
KSA	Knowledge, skill, and ability. Qualities needed to perform the duties of a position. KSAs derive from the PD, and selecting officials use them to evaluate applicants' qualifications.
PERSACTION	Software used to submit a personnel action request (SF 52) electronically.
CLG	Change-to-Lower-Grade after a time-limited promotion or at the employee's request.
Area of consideration	A description of the geographical or organizational boundaries of a vacancy announcement and types of applicants eligible to apply.
Misassignment	Arises when assigned duties don't match one's PD. This must be corrected!
Placement	Assignment to a position through various means.

External Hiring Sources

Introduction This map explains typical sources for external recruitment.

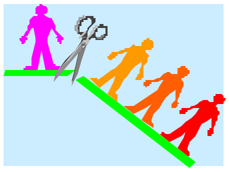
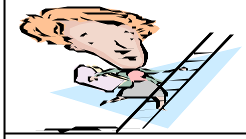
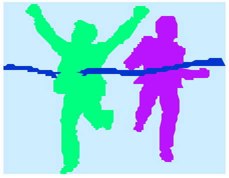
External sources Supervisors may fill vacancies from either internal or external sources or both simultaneously. Sources may include candidates not currently working for the government.

This table describes *external* recruitment sources:

Source	Description
OPM Certificate	For a fee, Office of Personnel Management (OPM) provides a listing of candidates, usually from outside the federal government and who meet position qualifications. OPM accepts applications from the public, and rates, ranks, and furnishes them to the activity on a certificate.
Delegated Examining Unit (DEU)	OPM delegates examining authority (similar to that described above) to selected agencies and activities. DEU receives applications from the public. After rating and ranking, DEU issues certificates to government activities within its region.
Excepted appointment 	Certain appointments are made without following normal merit procedures. These are *excepted* appointments. Examples: • Veteran's Readjustment Act (VRA) appointments. • Student employment programs. • Emergency appointments.
Appointments outside the register	Agencies may make certain temporary appointments by using competitive procedures that consider qualifications and Veteran's preference. Applicants apply directly to the agency, not OPM or DEU.

Internal Placement Sources

Introduction This map describes *internal* recruitment sources:

Source	Description
Displaced employee 	Some employees separated from the federal government through reduction in force (RIF) may be reappointed. These include eligible people in the - DoD Priority Placement Program—also known as the *stopper list*. - Interagency Career Transition Assistance Plan (ICTAP). Stopper list must be cleared before considering other recruitment sources. You must consider displaced employees first.
Reemployment Priority List	List of surplus employees residing in the commuting area after a RIF.
Re-promotion eligible	Employees downgraded through no fault of theirs are *eligible* for non-competitive re-promotion (not mandatory selection).
Reinstatement 	If a vacancy announcement includes reinstatement eligibles, they may be considered for - a grade previously held. - competitive appointment to a higher grade.
Career Program (CP) 	Certain occupations fall into career programs, which seek to fill their positions through a centralized referral process. Only CP registrants may apply for these positions. DA publishes eligibility lists for promotion or reassignment to vacant CP positions.
Merit promotion 	Local candidates compete for promotion or placement through the merit promotion plan. The plan - establishes areas of consideration. - advertises vacancies. - rates and ranks applicants.
Medical placement	Reassignment to a position redesigned to accommodate a person's limitations. Often referred to as "light duty."

Internal Placement and External Hiring Procedures

Introduction This map describes procedures for internal placement and external hire.

<table>
<tr><th>Step</th><th>Supervisor Action</th></tr>
<tr><td>1</td><td>Contact CPAC and plan recruitment strategy. Consider availability of
• *internal* candidates.
• *external* candidates.
• both categories of candidates.

Also consider possibility of redesigning the position to increase applicant pool. Examples:
• Establish a bridge position.
• Create a trainee position.
• Develop an upward mobility plan.</td></tr>
<tr><td>2</td><td>Consider external recruitment sources.
(Mandatory consideration for certain displaced employees. See Step 5.)</td></tr>
<tr><td>3</td><td>Submit personnel request for hire:
• Attach PD or PDs (if a trainee job).
• Attach a note explaining strategy to CPOC staffing specialist.</td></tr>
<tr><td>4</td><td>Determine KSAs and special requirements of the vacant position.

Note: These should already be described in the PD.</td></tr>
<tr><td>5</td><td>Consider DoD Priority Placement candidates as required.</td></tr>
<tr><td>6</td><td>Depending on category, take the following action:
<table>
<tr><th>Internal Placement</th><th>External Hire</th></tr>
<tr><td>Review lists of competitive and non-competitive candidates provided, per the local merit promotion plan.

Verify references and qualifications.</td><td>Review certificates of eligible candidates and application information.

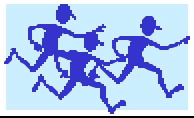
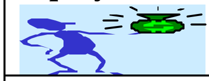
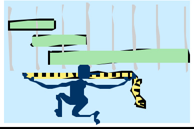
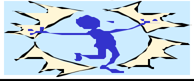
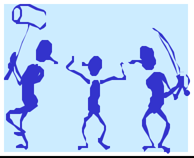
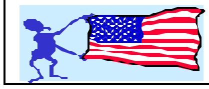
Verify references and qualifications.</td></tr>
</table>
</td></tr>
<tr><td>7</td><td>Interview candidates, following guidelines for employment interviews.</td></tr>
<tr><td>8</td><td>Select the best candidate.</td></tr>
<tr><td>9</td><td>Notify CPOC of selection and coordinate in-processing.</td></tr>
</table>

Recruitment tip Increase external hire opportunities by

- visiting local colleges and universities.
- marketing the installation through professional organizations.
- assisting CPOC or CPAC in job fairs.
- speaking to community groups.

Merit Principles

Introduction This map lists merit principles that form the cornerstone of federal service.

Principle	Description
Inclusiveness 	Recruit from all segments of society. Select and advance on basis of ability, knowledge, and skills. Provide fair and open competition.
Fairness 	Treat people fairly without regard to • politics. • race. • color. • religion. • national origin. • sex. • marital status. • age. • handicapping condition.
Equity 	Provide equal pay for equal work.
Standards 	Hold high standards of • integrity. • conduct. • concern for the public interest.
Efficiency & effectiveness 	Use the workforce efficiently and effectively. Retain employees who perform well. Remedy inadequate work performance. Separate those who can't or won't meet standards.
Training 	Provide education or training to improve individual or organizational performance.
Protection 	Protect employees from • arbitrary action. • personal favoritism. • political coercion. • reprisal for lawful disclosures of information.
Prohibition 	Prohibit employees from interfering with the election process.

Prohibited Practices

Introduction This map lists practices prohibited by law (5 USC, 5 CFR).

Prohibitions This table lists prohibited personnel practices. Supervisors who engage in these practices are subject to mandatory disciplinary action.

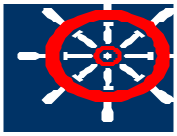
Practice	Description
Discrimination	Discrimination against any employee or applicant. Discrimination based on non-performance related conduct.
Solicitation	Soliciting or considering any employment recommendation on a person unless it is an evaluation of • performance. • ability. • aptitude. • general qualifications. • character. • loyalty. • suitability.
Deception	Willfully deceiving an individual or obstructing one's right to compete for federal employment.
Influence	Influencing any applicant to withdraw from competition.
Preferences	Granting preferential treatment or advantage to job applicant or employee.
Relatives	Appointing, employing, promoting, or advancing relatives in one's agency.
Reprisal	Taking a personnel action as a reprisal against one who • exercises appeal rights. • refuses to engage in political activity. • "blows the whistle" on management.
Coercion	Coercing the political activity of any person.
Merit principles	Violating any of the merit principles.

Employment Interviews

Introduction

This map describes how to conduct effective employment interviews.

Guidelines



Use interviews to verify existing information or gather new information. They're not required, if you have adequate information about the candidates. Also check your labor agreement and merit promotion plan.

If unsure about the pertinence of interview questions, contact CPAC or EEO rep.

Tips

To conduct an effective employment interview, follow these tips:

Tip	Description
1	Avoid pitfalls like: • administering a performance test. • asking about the employee's personal life or appearance. • asking about union activities or membership. • asking "trick" questions. • being argumentative, rude, sexist, or discriminatory. • leading the candidate to believe he was selected. • divulging confidential information. • asking about child care arrangements or "commitment."
2	Review candidate's application before the interview to identify possible gaps, inconsistencies, or areas for clarification.
3	Arrange an interview location free of distractions.
4	Be businesslike; polite and pleasant but not too solicitous.
5	Set the candidate at ease before getting to the heart of the interview.
6	Use short, clear questions. Be practical rather than theoretical.
7	Use active listening skills.
8	Allow each candidate about the same amount of interview time.
9	Stick to interview questions or checklist and keep notes.
10	Don't make any employment commitments.
11	Encourage questions about the organization. Consider providing all candidates an organizational tour or briefing.
12	Tell applicants when you'll make a decision and who will contact them.

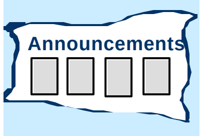
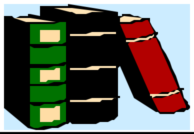
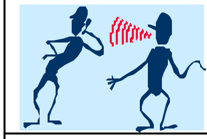
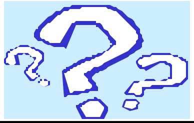
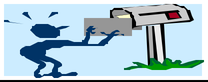
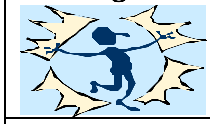
Impressions

Review interview results in total context. Don't judge someone on how well he responded in a single interview.

Most jobs require more than just verbal or social skills.

Tips for Assisting Employees

Introduction This map provides some tips for assisting employees in utilizing the local staffing process.

Tip	Supervisory Task
Publicizing 	Post vacancy announcements on a bulletin board. Include • local announcements. • announcements from other Army or federal agencies. Maintain a supply of required forms. Also arrange access to automated application software.
Informing 	Make available local staffing and selection regulations and your merit promotion plan. If possible, arrange CPAC briefings on resume preparation and merit promotion applications.
Anticipating 	Tell people about upcoming announcements in your organization. Be sure to inform those on leave or TDY of time-sensitive vacancy announcements.
Responding 	Answer all questions completely and sincerely concerning • staffing. • promotion. • placement procedures.
Appraising 	Provide employees timely and accurate performance appraisals.
Balancing 	Balance organizational needs with employee's through • proper cross-training. • details. • formal training. • self-development opportunities.
Adding value 	Encourage people to maintain and enhance their value to the organization. Build a learning organization.
Recognizing 	Help people satisfy growth needs through • coaching. • counseling. • praising.

Lesson 3—End-of-Lesson Exercises

Instructions Read the situations and questions and select the best answer.

1. Which is a supervisory responsibility?
   a. Register new employee for benefits.
   b. Create an official personnel folder (OPF).
   c. Select candidate for hire.
   d. Classify the position.

2. Use the Terms map on page 3-4 to answer question below.

   Situation: Carol, a GS-344-8, must go on extended sick leave (1 March to 31 May). You plan to replace Carol with Anne, a GS-344-7. Anne is not qualified or eligible for a temporary promotion.

   What is the appropriate action?
   a. No action is necessary for a 90-day detail to a higher grade.
   b. Noncompetitive detail to the higher grade; submit PERSACTION request and PD.
   c. Competition is mandatory for details to a higher grade; announce a vacancy.
   d. Reclassify Anne's position from GS-07 to GS-08.

3. Use the Terms map on page 3-4 to answer question below.

   Situation: Susan, a GS-318-07, will replace Anne, a GS-344-07 (above), for about 28 days. Susan is not qualified as a GS-344-07.

   What is the appropriate action?
   a. No action is required for a short "verbal detail" (but check your local merit promotion plan and labor agreement for exact time limits).
   b. All details require a PERSACTION request and PD.
   c. Competitive detail; you must announce a vacancy.
   d. Reclassify Susan's position as a GS-344-07.

Continued on next page

Lesson 3—End-of-Lesson Exercises, Continued

---

4. When planning a staffing action, a supervisor
    a. must select only one recruitment source.
    b. may pursue more than one recruitment source simultaneously.
    c. must fill *internally* before recruiting externally.
    d. must fill *externally* before recruiting internally.

---

5. Which is a mandatory requirement for supervisors in the selection process?
    a. Establish a bridge position.
    b. Create a trainee position.
    c. Consider eligible DoD Priority Placement candidates.
    d. Develop an upward mobility plan.

---

6. Supervisors are responsible for
    a. rating and ranking all candidates, regardless of source.
    b. rating and ranking all internal candidates.
    c. using EEO goals as the basis for selection decisions.
    d. separating those who can't or won't meet standards.

Lesson 3—Answer Key and Feedback

Instructions Correct choices are highlighted.

1. Which is a supervisory responsibility?
   - a. Register new employee for benefits.
   - b. Create an official personnel folder (OPF).
   - **c. Select candidate for hire.**
   - d. Classify the position.

   (Page 3-2, Step 6—other choices refer to CPOC and CPAC responsibilities at Step 7.)

2. Use the Terms map on page 3-4 to answer question below.

   Situation: Carol, a GS-344-8, must go on extended sick leave (1 March to 31 May). You plan to replace Carol with Anne, a GS-344-7. Anne is not qualified or eligible for a temporary promotion.

   What is the appropriate action?
   - a. No action is necessary for a 90-day detail to a higher grade.
   - **b. Noncompetitive detail to the higher grade; submit PERSACTION request and PD.**
   - c. Competition is mandatory for details to a higher grade; announce a vacancy.
   - d. Reclassify Anne's position from GS-07 to GS-08.

   (Page 3-4, Noncompetitive Detail)

3. Use the Terms map on page 3-4 to answer question below.

   Situation: Susan, a GS-318-07, will replace Anne, a GS-344-07 (above), for about 28 days. Susan is not qualified as a GS-344-07.

   What is the appropriate action?
   - **a. No action is required for a short "verbal detail" (but check your local merit promotion plan and labor agreement for exact time limits).**
   - b. All details require a PERSACTION request and PD.
   - c. Competitive detail; you must announce a vacancy.
   - d. Reclassify Susan's position as a GS-344-07.

   (Page 3-4 Noncompetitive Detail)

Continued on next page

Lesson 3—Answer Key and Feedback, Continued

---

4. When planning a staffing action, a supervisor
   a. must select only one recruitment source.
   b. may pursue more than one recruitment source simultaneously.
   c. must fill *internally* before recruiting externally.
   d. must fill *externally* before recruiting internally.

   (Page 3-5, External sources block)

---

5. Which is a mandatory requirement for supervisors in the selection process?
   a. Establish a bridge position.
   b. Create a trainee position.
   c. Consider eligible DoD Priority Placement candidates.
   d. Develop an upward mobility plan.

   (Page 3-7, Step 5—other choices at Step 1 are options but not mandatory.)

---

6. Supervisors are responsible for
   a. rating and ranking all candidates, regardless of source.
   b. rating and ranking all internal candidates.
   c. using EEO goals as the basis for selection decisions.
   d. separating those who can't or won't meet standards.

   (Page 3-8, Efficiency and Effectiveness)

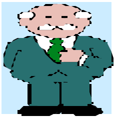
Lesson 4—Human Resources Development (HRD)

Overview to Sections A and B

Introduction

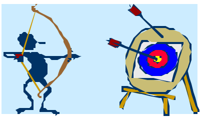
This lesson discusses HRD management processes and career management strategies.

Rationale



Supervisors use HRD processes to maximize employee performance, enhance growth, and strengthen the organization. They must also use training resources prudently, for they'll always have unsatisfied training needs.

Objectives



- Define purpose and role of Human Resources Development (HRD).
- Identify supervisor HRD roles and responsibilities.
- Identify key aspects of HRD policy.
- Identify supervisor responsibilities related to transfer of training.

In this lesson

This lesson contains two sections, as shown below:

Section A: HRD management

Topic	See Page
Purpose of HRD	4-2
HRD Roles for Supervisors	4-3
HRD Processes	4-4
HRD Policies	4-5
Financial Aspects of HRD Management	4-7
Transfer of Training	4-8
Transfer of Training Contract	4-9

Section B: Career management

Topic	See Page
Career Fields and Career Programs (CF/CP)	4-10
ACTEDS	4-11
Career Planning Process	4-12
Career Counseling Interview	4-13
Career Counseling Tips	4-14
Civilian Leadership Development	4-15
End-of Lesson Exercises	4-17
Answer Key and Feedback	4-18

Section A—HRD Management

Purpose of HRD

Introduction

This map defines HRD and explains its purpose.

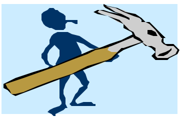
Definition

Human Resources Development (HRD) is the means used to support the mission of human resource management, which is *to maximize employee performance*.

We also define HRD by its four functions:

- Education.
- Training.
- Development.
- Career Management.

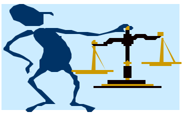
Purpose



Purpose of HRD is to provide people the means to perform their current or future work.

HRD creates or enhances employee capability.

Balance



HRD balances management's need for a competent workforce with employees' needs for successful careers.

Thus, HRD focuses on employee and organizational *capability.*

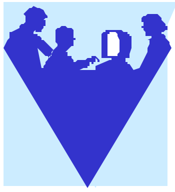
Exceptions

Although important, HRD doesn't directly support other performance issues.

Example: HRD doesn't directly address the supervisory challenges of

- Determining an employee's workload.
- Inspiring people.
- Providing resources.
- Providing feedback on performance.

PERMISS



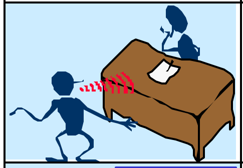
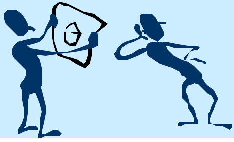
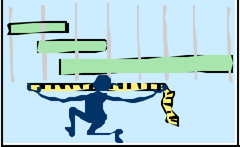
PERMISS (Personnel Management Information and Support System). This is a decision support system designed to provide information and guidance on all areas of HRD and other areas of Army civilian personnel management.

To access information on PERMISS visit *Army Civilian Personnel Online (CPOL)*. Web site: http://cpol.army.mil

HRD Roles for Supervisors

Introduction

This map lists six HRD roles supervisors must play:

Role	Description
	Subject Matter Expert: Determine what people need to know to perform their job.
	**Customer:** Know when to consult CPAC staff or contractors.
Needs Needs Needs	**Planner:** Assess HRD needs of employees. Initiate, review, or approve HRD requests to meet needs.
	**Mentor:** Provide career counseling to employees. Market career programs.
	Trainer or Coach: Provide • on-the-job training. • coaching. • performance feedback.
	**Evaluator:** Evaluate completed HRD activities for their effectiveness and transfer to the workplace.

Flexibility

If supervisors can't assume these roles, they should engage a competent substitute, such as a work leader, senior worker, or training coordinator.

Caution

Act cautiously when delegating these roles. Some of their duties could border on supervisory responsibilities you can't delegate.

Example:
A supervisor may not delegate duties such as performance counseling, discipline, or formal evaluation. Any supervisor who does this is guilty of abdication.

HRD Processes

Introduction

This map lists HRD processes people initiate or participate in.

Initiating processes

Employees, supervisors, and HRD staff initiate various training related processes. This table outlines HRD actions these players initiate:

Player	Description
Employee 	Employee initiates HRD processes by • communicating HRD needs. • engaging in career planning. • preparing an Individual Development Plan (IDP). • evaluating completed training.
Supervisor 	Supervisor initiates HRD processes by • assessing HRD needs. • consulting with HRD staff or contractors. • initiating, reviewing, approving, and authorizing training. • conducting career counseling. • providing OJT to employees. • integrating HRD with other HR actions.
HRD staff 	HRD staff initiates HRD processes by • marketing agency career management programs. • informing and advising. • developing HRD needs-assessment tools. • evaluating HRD programs. • developing or selecting HRD sources. • scheduling training.

Approval authority

AR 690-200, Chapter 250 allows supervisors to approve short-term training (120 days or less). However, they must be trained and authorized to do this.

Supervisor's training

Agencies may delegate authority to supervisors to approve subordinates' training. However, supervisors cannot approve their own requests. They must gain approval from the next higher level.

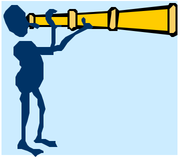
Caution: Self-review represents a conflict of interest and isn't authorized.

HRD Policies

Introduction

This map briefly reviews HRD policies.

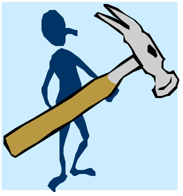
Scope



Use government resources to provide training and development that supports

- the organization's mission, including current and projected duties.
- related technology.
- management systems.

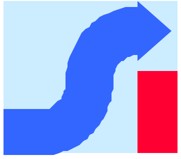
Mission related



Training is mission related if it

- supports the organization's strategic plan.
- improves one's current job performance.
- allows for expansion or enhancement of one's job.
- enables one to perform potentially needed duties at the same level of responsibility as the current job.
- meets organizational needs because of HR plans or restructuring.

Equal Opportunity



Guidelines:

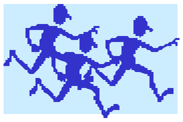
- Select employees for training without discrimination.
- Ensure training facilities are accessible to people with disabilities and don't discriminate in admission or treatment of students.
- Notify training providers in advance so they can accommodate people with disabilities.

Agreement

Agencies define a minimum length of training that requires a continued service agreement. The agreement obliges one to serve the agency for a period three times the length of the training.

Should an employee fail to fulfill the agreement, notify CPAC staff.

Competitive training



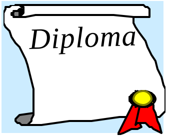
Use competitive selection procedures when

- training would give one employee a legitimate and competitive advantage over another in promotion or placement.
- scarce training resources are allocated.
- training is long-term (exceeding 120 calendar days).

Continued on next page

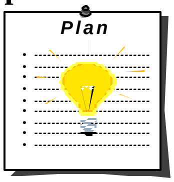
HRD Policies, Continued

Academic degrees



Training for the sole purpose of obtaining a degree is not usually payable. Some agencies allow exceptions to alleviate staffing problems or comply with legislation (such as the Defense Acquisition Workforce Improvement Act or Intelligence Authorization Act). However, employees may earn a degree if it's incidental to the training.

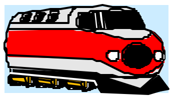
Training plans



When reviewing training requests, consider the person's needs. Employees in formal training programs (such as VRA appointees or agency management interns) should have established training plans.

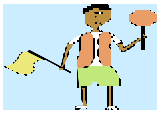
Also, agency performance plans and appraisals may integrate training to enhance employee performance. However, supervisors may approve training not originally identified in training plans.

TRAIN



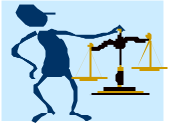
Supervisors may approve training requests through an automated system—TRAIN. Contact CPAC for the TRAIN manual used at your installation.

Caution



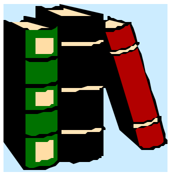
When purchasing non-government training, comply with cost comparison and competition requirements. Also file documentation in the organizational case file per AR 25-400-2, *The Modern Army Recordkeeping System* (MARKS).

Follow up



After an individual has completed training, follow up:
- Evaluate completed training with the trainee.
- Forward electronic information to CPOC for input into personnel database.
- Check to ensure the individual receives credit for the training.

Sources



These sources provide information on training policies and course offerings:
- *The Training Policy Handbook* (HRD-96-1), OPM.
- *Getting Results Through Learning*, Federal HRD Council.
- *Introduction to Human Resource Development*, TMD, CPOCMA.
- *Catalog of Army Civilian Training, Education, and Professional Development Opportunities* (Web site: http//cpol.army.mil).
- DA Pamphlet 351-20, *Army Correspondence Course Program Catalog*.
- Web site: http://155.217.58.58/atdls.html

Financial Aspects of HRD Management

Introduction

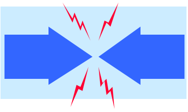
This map explains some financial aspects of training management.

Timing

Be sure to approve a training request before the training starts. Agencies will usually disapprove late requests (such as requests for college tuition assistance).

Employees enrolling in non-government training without prior written approval may have to bear the cost.

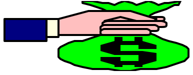
Conflicts of Interest



To avoid abuse or conflict of interest, always review requests for purchase of items like calculators or laptop computers before approving training.

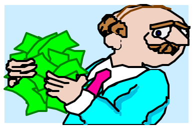
Also review grants or contributions from non-government activities that offer to defray training costs. Contact CPAC for guidance.

Advanced payment



If a vendor requires advanced payment, either use a government credit card or follow procedures explained on DD Form 1556.

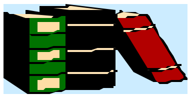
Premium pay



Since entitlements to premium pay are complicated, discuss them with CPAC before the training starts.

You may adjust work schedules to accommodate training time. One way is to allow for travel and homework during duty hours.

Materials



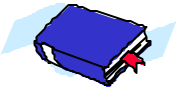
Managers may authorize reimbursement for all or part of books or reference materials required for training. Your organization should have a policy on the type of training material purchases it will reimburse.

Transfer of Training

Introduction

This map defines transfer-of-training and explains its importance.

Definitions



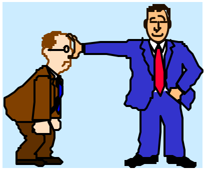
Transfer-of-training: Refers to ability of learners to *apply effectively knowledge and skills gained in training, education, or development to their jobs*. Sometimes the application is immediate; other times it's more remote.

……

Transfer-of-training also means

- translating knowledge, skill, or ability from one situation to another.
- practicing new behaviors and learning how to learn.
- refreshing and maintaining previously learned skills.

Failure



A common failing among organizations is that they

- train the wrong people.
- train them for the wrong reasons.
- provide the wrong training.
- provide the right training to the right person but fail to utilize it on the job.

Consequences

When newly provided training isn't utilized, it produces these consequences:

- Training investment is squandered.
- Learner's new skills rapidly decay for lack of use.
- Causes frustration and resentment among those affected.

Players

These players share a mutual responsibility for transfer of training:

Player	Responsibility
The learner	Apply maximum effort to learn what's important. Seek opportunities to reinforce learning.
Supervisor	Create opportunities to reinforce learning. Provide a work environment that utilizes training.
Co-workers	Through teamwork, help the learner apply learning to tasks.
Trainers	Plan and deliver training effectively.

Contract

Transfer of training contract: Use this valuable tool to ensure transfer-of-training occurs. It describes what the parties agree to do to ensure transfer. It can take many forms, but the sample on the next map is typical.

Note: At present, Army policy doesn't require this type of contract.

Transfer of Training Contract

Introduction This is a sample transfer of training contract.

Transfer of Training Contract					
Training Course Title					
Time & Place					
Purpose					
Present Job Effectiveness	____ 0-20%	____ 21-40%	____ 41-60%	____ 61-80%	____ 81-100%
Transfer Partners	Trainee: ______________________________		Supervisor and other stakeholders: ______________________________ ______________________________		
Potential Training Transfer or Utilization Barriers	Barrier(s):		Method(s) of eliminating:		
Strategies and Tools for Training Transfer and Utilization	What job aids or work strategies will be used for on-the-job application?				
Certification	______________________________ will manage my transfer-of-training plan. ______________________________ will support this plan.				
Post Training Effectiveness	Assess job effectiveness again with a 120-day follow up. ____ 0-20% ____ 21-40% ____ 41-60% ____ 61-80% ____ 81-100%				

Aid, Tool, Strategy	Who will use it?	When?

Section B—Career Management

Career Fields and Career Programs (CF/CP)

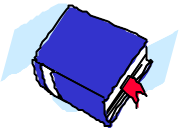
Introduction

This map briefly describes (CF/CP) structure and functions.

Background

Our civilian work force comprises over 550 occupations grouped in 54 career field and career programs, and managed by 31 proponents. All occupations fall into specific career fields, but some also fall into career programs.

Definitions



A career field (CF) is a grouping of functionally related positions (series) listed under a single agent for life cycle personnel management purposes. AR 600-3 lists career fields and their proponents.

A career program (CP) is a subset of a career field. A CP is a specified professional and administrative occupational series grouped by population, occupational structure, grade range and commonality of job and qualification characteristics. AR 690-950 designates career programs.

Mutual benefits

The life cycle management of career programs satisfies mutual interests of management and employees.

Management is able to develop a talent pool for promotions, development opportunities, and special projects.

Employees are able to receive important training and development, compete for promotions, and develop a sense of self-worth.

ACTEDS

ACTEDS (Army Civilian Training, Education, and Development System). Each career program described in Army Regulation 690-950, *Career Management*, maintains a plan for hiring and progressive development of employees to key positions.

ACCES

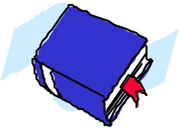
Career *development* programs link to but are not the same as career *referral* systems. The Army Civilian Career Evaluation System (ACCES) is the Army's centralized merit promotion and referral system for senior-level positions of many career programs.

ACTEDS

Introduction

This map describes the Army Civilian Training, Education, and Development System (ACTEDS).

Definition



ACTEDS is a requirements-based system that charts development of civilians by

- progressive and sequential work assignments.
- formal training.
- self-development from entry level to key positions.

ACTEDS is similar to the systematic approach to technical, professional, and leadership training and development the military employs. ACTEDS applies to all civilian occupations, both those in career programs and career fields.

Goals

This table lists Army goals for ACTEDS:

Goal	Description
Integration	Provide an integrated approach to civilian leader development.
Talent	Develop broad-gauged executive talent in complex fields.
Quality	Ensure consistent quality across occupations.
Proficiency	Ensure technical proficiency at each level and offer people with high potential opportunities for development.

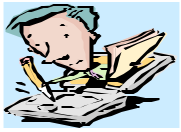
ACTEDS plans

ACTEDS plans cover specific occupational groups. The plans identify required competencies at major career stages.

Stages:

- Intern or Entry-Level.
- Specialist.
- Supervisor.
- Manager.
- Executive.

Elements



An ACTEDS plan contains these elements:

- Identification of key positions.
- Outline of career paths to key positions.
- Master Training Plan.

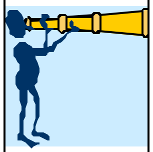
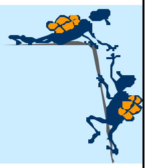
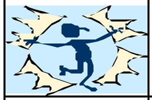
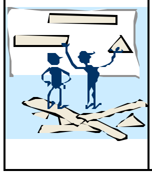
Master Training Plan

A Master Training Plan (MTP) outlines formal training, work assignments, and self-development needed at each level to gain required competencies. For career program occupations, MTPs start with Master Intern Training Plans (MITPs).

Career Planning Process

Introduction This map describes a model for career planning that both employees and supervisors can use.

Model This table describes five stages in career planning:

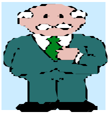
Stage	Description
1 	**Vision:** At this stage one should ask hard questions about the future: • Do I want to lead people? • Or would I be content at being a good follower? • Do I *really* want more than anything else to be a supervisor? • Or would I prefer to remain as a staff specialist or action officer? • Do I want to climb to the highest levels? • Am I committed to a career of government service? • What do I value, enjoy, and do well?
2 	**Assessment:** At this stage one assesses present skills and determines additional skills needed to achieve his vision. The gap between the two represents the career development need.
3 	**Planning:** One can satisfy developmental needs through • formal classroom training. • special projects on the job. • volunteer work in community and professional organizations. After considering options, the supervisor or training coordinator should assist the employee in writing an individual development plan (IDP). Some agencies attach training plans to performance plans and appraisals (TAPES includes training and development objectives).
4 	**Action:** This stage involves completing planned education, training, or development. Each of us must meet this challenge in our own way.
5 	**Evaluation:** At this final stage, both employee and supervisor should review completed HRD experiences. Based on the results, they can make new assessments and devise training plans.

Career Counseling Interview

Introduction

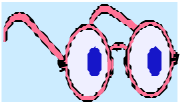
This map explains how to conduct a career-counseling interview.

Rationale



Before they can embark on a self-directed career path, most people need guidance through a career-counseling interview. To provide proper guidance, supervisors must be skilled interviewers.

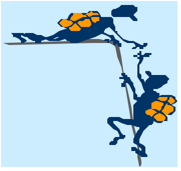
References



To learn interviewing techniques, read these publications:

- DA Pamphlet 690-43, *A Supervisor's Guide to Career Development & Counseling for Career Program Employees*.
- Army Correspondence Course, ST 7000, *Action Officer Development*.

Elements of success



Trust: The interviewer who creates trust is more effective than one who doesn't.

Role: Assume a role to fit the situation. Career counseling is an employee-focused process, which often appears non-directive. An aggressive interviewer should switch to a more accommodating style to enhance effectiveness.

Listening: Attentive listing punctuated with non-verbal and verbal feedback and timely questions can be very powerful.

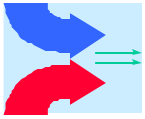
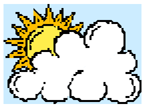
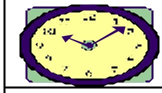
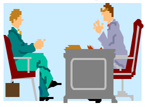
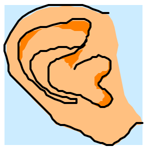
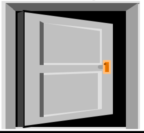
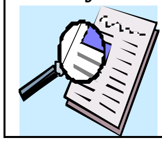
Procedure

To conduct an interview follow these steps:

Step	Action
1	**Prepare:** • List your objectives and questions. • Arrange comfortable surroundings.
2	**Open:** • Start on time—shows courtesy to those with busy schedules. • Work from an outline of key points.
3	**Conduct:** • Tailor your words to the respondent's level of understanding. • Ask clarifying questions. • Let the person talk—more he talks, the more you'll learn.
4	**Conclude:** • Summarize and confirm understanding. • Give the person a chance to clarify points. • End on time.
5	**Follow up:** Maintain a relationship as an advisor, coach, or mentor.

Career Counseling Tips

Introduction This map provides tips for conducting an effective career-counseling interview.

Tip	Description
Approach 	Consider whether • the employee has approached you for the interview, or • you're taking initiative to counsel the employee. With this in mind mentally prepare for the interview.
Climate 	Set climate and atmosphere.
Time 	Set aside a sufficient time and reduce nearby distractions.
Strategies 	Consider two interviewing strategies. First: Engage the employee in substantive discussion. Second: Then guide exploration without judgment.
Pace 	To maintain a smooth pace • be receptive as an active listener. • phrase questions in a clear, non-threatening manner. • let the meeting flow naturally. • don't try to cover everything in a single session.
Closing 	When you've achieved the objectives for the first meeting • summarize and close the session. • obtain a commitment to meet again. Both of you may agree to do some homework between meetings.
Analysis 	Career counseling needs to be a positive process for both participants. If it's not, take time to analyze what happened before meeting again.

Civilian Leadership Development

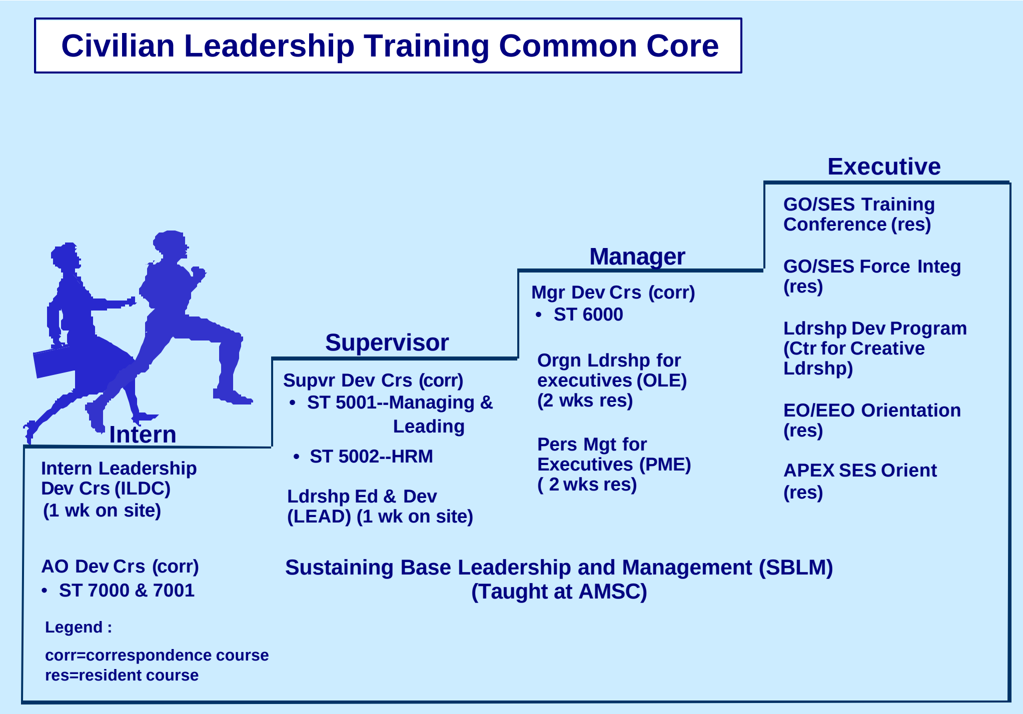
Introduction This map briefly describes the Army's Civilian Leadership Development Program (CLDP).

Common core The ultimate aim of the CLDP is to offer a common core of progressive and sequential array of leadership training for DA civilians.

This core would roughly parallel military leadership training and meet the needs of the civilian work force.

Structure Currently, civilian leadership training is a combination of short residential and correspondence courses. Correspondence courses are available both in hard copy and interactive versions delivered on the Internet.

As shown below, this subcourse, ST 5002, is part of the common core.



Civilian Leadership Training Common Core

Intern

Intern Leadership Dev Crs (ILDC) (1 wk on site)

AO Dev Crs (corr)
- ST 7000 & 7001

Supervisor

Supvr Dev Crs (corr)
- ST 5001--Managing & Leading
- ST 5002--HRM

Ldrshp Ed & Dev (LEAD) (1 wk on site)

Manager

Mgr Dev Crs (corr)
- ST 6000

Orgn Ldrshp for executives (OLE) (2 wks res)

Pers Mgt for Executives (PME) (2 wks res)

Executive

GO/SES Training Conference (res)

GO/SES Force Integ (res)

Ldrshp Dev Program (Ctr for Creative Ldrshp)

EO/EEO Orientation (res)

APEX SES Orient (res)

Sustaining Base Leadership and Management (SBLM) (Taught at AMSC)

Legend :

corr=correspondence course
res=resident course

Information For further information on these course offerings, see AR 690-400, Chapter 410. You can access the AR at PERMISS: http://cpol.army.mil

---

Lesson 4—End-of-Lesson Exercises

Instructions	Select the best answer.

1. Which statement best describes Human Resources Development (HRD)?
    a. HRD is a proven tool for supervisors to determine each employee's workload.
    b. HRD programs frequently conflict with organizational HRM (Human Resource Management) requirements.
    c. HRD does not directly address supervisory needs for organizational development.
    d. HRD provides employees the means to perform their current and future work.

2. Which is a typical supervisor role in the HRD process?
    a. Evaluating HRD programs.
    b. Develop HRD sources.
    c. Provide OJT to employees.
    d. Scheduling training.

3. Which statement concerning HRD policy is true?
    a. Supervisors may approve training that’s not mission related.
    b. EEO procedures apply only to hiring, not to selection of people to attend training.
    c. Continued service agreements are required for any training employees receive.
    d. Employees may earn a degree as a result of training.

4. Which is a primary supervisory responsibility regarding *transfer of training*?
    a. Planning and delivering training.
    b. Sending people to training to obligate year-end funds.
    c. Assuring life cycle management of employee training.
    d. Providing a work environment that utilizes training.

5. A career counseling interview
    a. is an employee-focused process.
    b. is a supervisor-focused process.
    c. is highly directive.
    d. requires no follow up when concluded.

Lesson 4—Answer Key and Feedback

Instructions Correct choices are highlighted.

1. Which statement best describes Human Resources Development (HRD)?
   a. HRD is a proven tool for supervisors to determine each employee's workload.
   b. HRD programs frequently conflict with organizational HRM (Human Resource Management) requirements.
   c. HRD does not directly address supervisory needs for organizational development.
   d. HRD provides employees the means to perform their current and future work. (Page 4-2, Purpose)

2. Which is a typical supervisor role in the HRD process?
   a. Evaluating HRD programs.
   b. Develop HRD sources.
   c. Provide OJT to employees. (Page 4-4, Supervisor block)
   d. Scheduling training.

3. Which statement concerning HRD policy is true?
   a. Supervisors may approve training that's not mission related.
   b. EEO procedures apply only to hiring, not to selection of people to attend training.
   c. Continued service agreements are required for any training employees receive.
   d. Employees may earn a degree as a result of training. (Page 4-6, Academic degrees)

4. Which is a primary supervisory responsibility regarding *transfer of training*?
   a. Planning and delivering training.
   b. Sending people to training to obligate year-end funds.
   c. Assuring life cycle management of employee training.
   d. Providing a work environment that utilizes training. (Page 4-8, Players, Supervisor)

5. A career counseling interview
   a. is an employee-focused process. (Page 4-13, Elements of success)
   b. is a supervisor-focused process.
   c. is highly directive.
   d. requires no follow up when concluded.

Lesson 5—Performance Management

Overview

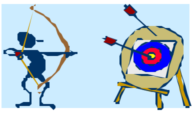
Introduction

This lesson describes the four phases of performance management and offers techniques for managing each phase.

Rationale

Performance management is a continuous series of interrelated events occurring throughout one's career. By systematically managing people's performance, the supervisor promotes their growth and fulfillment.

Objectives



- Define the four phases of performance management.
- Use a checklist to validate objectives.
- Explain how to develop people's performance through various means.
- Explain the procedure for appraising performance.

In this Lesson

This lesson contains the following topics:

Topic	See Page
Performance Management Cycle	5-2
Performance Management Terms	5-3
Phase I: Defining Performance	5-4
Performance Standards	5-5
Defining Performance for *Base System* Employees	5-6
Defining Performance for *Senior System* Employees	5-7
Phase II: Developing Performance	5-8
Progress Review	5-9
Phase III: Reviewing Performance	5-10
Appraising *Base System* Employees	5-11
Appraising *Senior System* Employees	5-12
Lesson Summary	5-13
End-of-Lesson Exercises	5-14
Answer Key and Feedback	5-16

Reference

DA Pam 690-400

To get the most from this lesson, review DA Pamphlet 690-400, *Total Army Performance Evaluation System (TAPES)*. To view it on the Web, visit Civilian Personnel Online (http://cpol.army.mil). Then go to the regulatory section (DA Pamphlets).

Performance Management Cycle

Introduction

This map identifies players in the performance management process and defines this process as a cycle consisting of four phases.

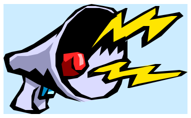
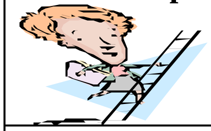
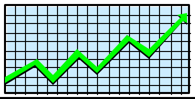
Players

This table identifies players in the performance management process:

Player	Role
Ratee	Performs work. Participates in defining and developing own performance. Communicates with supervisor. Assists co-workers.
Rater	Supervisor, leader, or team delegated authority to define and review performance under TAPES.
Intermediate Rater	Optional—reviewing level supervisor or management team in between rater and senior rater.
Senior Rater	Supervisor delegated authority to approve performance appraisals.
Customer	May help to define or evaluate performance through satisfaction surveys or feedback systems.
Peer or co-worker	May help to define, develop, and review performance.
Personnel Mgt Specialist	CPAC specialists who advise customers on performance management matters and process appraisals.

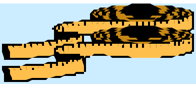
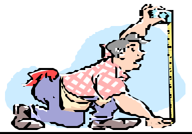
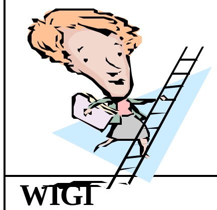
Cycle

This table describes the four phases of the performance management cycle:

Phase	Description
I—Define 	Define performance. • Explain the team or individual's mission. • Discuss expectations about products and services. • Define performance objectives and standards.
II—Develop 	Develop performance by providing • training. • leadership—feedback, coaching, and counseling. • required resources.
III—Review 	Review performance. Periodically review performance and progress with individuals and team. This will form a basis for appraisals and awards.
IV—Reward	Reward performance. Use informal and formal recognition and reward systems. At the end of this phase, the cycle returns to Phase I. Note: Lesson 6, *Incentive Awards*, covers this phase in detail.

Performance Management Terms

Introduction This map defines terms used in performance management activities.

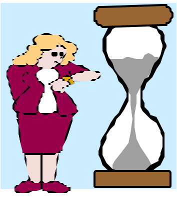
Concept	Definition
TAPES 	Total Army Performance Evaluation System. Civilian performance appraisal system, similar to military evaluation systems. Consists of a Base System and Senior System.
Base System	Covers employees below the senior system level.
DA Form 7223-1	Base System Civilian Performance Counseling Checklist/Record. Referred to as "counseling checklist."
DA Form 7223	Base System Civilian Evaluation Report.
Senior System	Covers interns, GS-09 and above, FWS employees WS-09 and above, and members of the Senior Executive Service (SES).
DA Form 7222-1	Senior System Civilian Evaluation Report Support Form. Used to define and develop performance. Referred to as "support form."
DA Form 7222	Senior System Civilian Evaluation Report. Used to review and reward performance.
Performance Plan	Performance expectations documented on the counseling checklist or support form.
Performance Standards 	Statements defining type and level of expected performance. Defined on counseling checklist and support form. Rater assigns or negotiates performance objectives and standards based on mission and DA standards. Employee may set personal objectives for professional growth that supports the organization.
Rating Period	Normally one year but not less than 120 days.
Progress Reviews	Reviews are documented quarterly on the counseling checklist or support form. At least one review required per rating period.
Overall Performance Rating 	Highest rating is Successful Level 1. Indicates all standards met and 75 percent or more of objectives exceeded. Senior System. For Successful Level 1 rating, must exceed 75% of objectives, including supervisory objectives for supervisors. Base System. For Successful Level 1 rating, must exceed at least three responsibilities, or four for supervisors. Other rating levels: 2, 3, 4, and 5. Only levels 1-3 are acceptable.
WIGI	Within Grade Increase (WIGI). Step increase for an acceptable level of performance during a specified period.
Quality Step Increase	An extra step increase that GS employees may be rewarded for performance at Successful Level 1.
Critical Element	An OPM term that must appear in performance plans. Army defines all established performance objectives as critical elements.

Phase I: Defining Performance

Introduction

This map explains how to define performance.

Timeliness



To receive a performance evaluation, civilian employees must have a set of approved performance standards in place for at least 120 days. To establish standards, meet with the employee within the first 30 days of the rating period.

We can’t expect people to perform well over a sustained time without knowing what’s expected of them. Moreover, supervisors who fail to define performance in a timely manner invite low morale and grievances.

Commitment

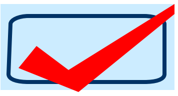
Use the performance planning phase to involve people and build commitment:

- prepare draft performance objectives and ask the employee or team to comment on them, or
- delegate the task of writing performance objectives to employees and teams.

Critical elements

Evaluation of performance at an acceptable level means that the individual has met all critical elements. Critical elements are the performance objectives or responsibilities attached to the TAPES form.

Checklist



The checklist for critical elements is important because performance objectives must meet OPM criteria. Use it to delete improper objectives and define measurable standards for rated employees.

How to use

Answer each question. Generally, any “yes” answer means the objective is a critical element and you must write standards carefully. If answering “no” to all questions, you should probably delete the objective and emphasize another one.

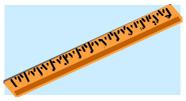
Questions	Yes	No
Is this objective central to the position’s purpose?		
Is this objective a primary reason the position exists?		
Would you remove the employee for failure to achieve objective?		
Is proper execution vital to mission accomplishment?		
Would errors endanger health or life?		
Employee has primary responsibility for this objective?		
Regulatory or statutory requirements make the objective critical?		
Standards set by law or regulation?		
Statutes or regulations prohibit certain practices?		

Performance Standards

Introduction

This map defines performance standards for base and senior systems.

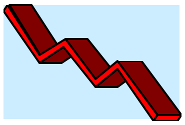
Definition



A performance standard is a statement(s) describing type and level of performance expected.

Since it serves as a measuring tool, a standard must be specific and measurable.

Examples



Two examples of stated standards:

Bad example: Reduce accident rate.

Good example: Reduce accident rate 5 percent by end of the first quarter.

Base System standards

Counseling checklist describes DA-established responsibilities and standards:
- Technical competence.
- Adaptability/initiative.
- Work relationships/communications.
- Responsibility/dependability.

Base System supervisory standards

Additional DA-established responsibilities and standards for supervisory positions:
- Supervision/leadership.
- Equal employment opportunity/affirmative action.

Senior System standards

The support form describes DA-established responsibilities and standards:
- Technical competence.
- Innovation/initiative.
- Responsibility/accountability.
- Working relationships.
- Communication.

Senior System supervisory standards

Additional DA-established responsibilities and standards for supervisory positions:
- Organizational management and leadership.
- Equal employment opportunity/affirmative action.

Defining Performance for *Base System* Employees

Introduction This map explains how to define performance.

Steps

To define performance for base system employees, follow these steps:

Step	Action
1	Schedule a counseling session within the first 30 days of each rating period.
2	Discuss your expectations for performance, using supporting information (position description, mission objectives).
3	Explain performance standards on the counseling checklist.
4	Obtain employee input on individual expectations.
5	Discuss and negotiate the individual's expectations (objectives). Ensure these objectives meet criteria for critical elements. Discuss time frames, resources, competing priorities, and potential obstacles.
6	Explain the Army core values and what they mean to good performance in your organization.
7	Close the meeting and agree to meet later to discuss progress.
8	Document the results of the meeting. Record objectives and initials on the counseling checklist.
9	Maintain the counseling checklist by adding, deleting, or modifying objectives throughout the rating period as needed.
10	Hold and document at least one mid-term meeting. Local policy or the union contract may require additional meetings.

Teams

Some organizations employ work teams to manage mission accomplishment.

A team can use these steps when defining performance collectively.

Defining Performance for *Senior System* Employees

Introduction This map explains how to define performance.

Steps

To define performance for senior system employees, follow these steps:

Step	Action
1	Schedule a counseling session within the first 30 days of each rating period.
2	Discuss your expectations for performance using supporting information (position description, mission objectives).
3	Explain the performance standards listed on the support form.
4	Obtain employee input on • significant duties and responsibilities. • major performance objectives. • recommended education, training, or development.
5	Discuss and agree on the information in Step 4. Ensure the objectives meet the criteria for critical elements. Discuss time frames, resources, competing priorities, and potential obstacles. List relevant training or development needs.
6	Explain the Army core values and what they mean to good performance in your organization.
7	Close the meeting and agree to meet later to discuss progress.
8	Document results of the meeting and verify discussion by placing initials in Part III of the support form.
9	Maintain the support form by adding, deleting, or modifying objectives throughout the rating period as changes occur.
10	Hold and document at least one mid-term meeting. Local policy or the union contract may require additional meetings.

Teams

Some organizations employ work teams to manage mission accomplishment.

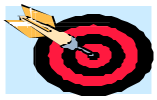
A team can use these steps when defining performance collectively.

Phase II: Developing Performance

Introduction

This map describes the second phase in performance management—developing performance.

Goal



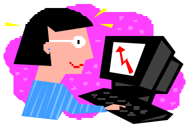
Developing performance relates directly to the human resource goal of maximizing workforce performance.

This phase leads to the mission accomplishment we all seek.

Types

We develop performance through the means explained below.

Training



Includes on-the-job training, formal classroom training, computer-based training, correspondence training, and independent study or video-based training.

When people lack skills to do assigned work, train them.

Education

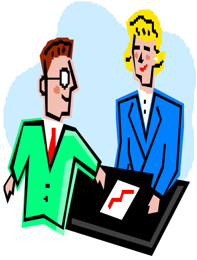
Preparation for the future: education in Army schools, colleges, and independent study.

Development

Work assignments such as details or special projects.

Someone with experience in one function can rotate to new assignments to gain experience in other functions.

Feedback



Use feedback to help people acquire, enhance, or use job skills.

Feedback should be
- specific.
- objective.
- focused on behavior.
- helpful.

Supervisors and peers are sources of feedback.

Counseling

Required for employees who don't progress after normal supervisory attempts to train and coach.

Progress Review

Introduction

This map explains how to conduct a progress review.

Rationale

A progress review promotes performance development. Besides the required mid-term review, use this tool periodically to assess performance and maintain control.

No alibis

Recurring progress reviews eliminate the alibi, “I didn’t get it done because I didn’t understand or know how, and nobody explained or checked.”

Steps

To conduct a progress review, follow these steps:

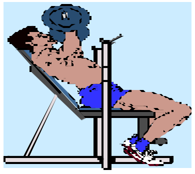
Step	Action
1	Ensure the person understands, accepts, and has committed to the assigned performance standards. If not, redefine expected performance (pages 5-6 or 5-7).
2	Schedule a progress review. Arrange a suitable meeting place free of distractions, and allow sufficient time.
3	Give a warm welcome and encourage the person to relax. This helps make the setting comfortable and non-threatening.
4	State your purpose and invite the person to discuss • achievements on individual objectives. • completed training, education, or development. • delays, missed deadlines, or emerging problems.
5	Provide feedback on • quality, quantity, timeliness, or cost-effectiveness. • conduct and behavior. • collaboration and teamwork. • completed objectives. • remaining objectives.
6	Encourage suggestions for solving emerging problems.
7	When you’ve discussed all objectives close the meeting: • Summarize commitments—end on a high note. • Schedule the next meeting. • Document discussion on counseling checklist or support form.
8	Arrange for education, training, or development identified during the progress review. Provide OJT as needed.

Phase III: Reviewing Performance

Introduction

This map provides background information on Phase III: Reviewing Performance.

Purpose



We use appraisals to

- provide feedback to maximize performance.
- make an *Acceptable Level of Competence* decision.
- determine service computation dates for reductions in force.
- identify proper incentive awards.

Base system rating period

The annual rating period is determined locally.

Senior system rating period

The rating period for Senior System employees depends upon the employee's category:

Category	Rating Period
GS/WS-13 and above	1 July to 30 June of the following year. Exception: Army Corps of Engineers in this category are rated on a 1 October to 30 September cycle.
GS/WS-09 through 12	1 November to 31 October of the following year.
Interns	First rated six months after entry on duty (a *special* rating). Then rated six months later, at anniversary date (annual rating). Thereafter, rated at anniversary date until graduation.

Special ratings

DA Pamphlet 690-400 and Army Regulation 690-400, Chapter 4302 explain exceptions for employees who change jobs in the middle of a rating period.

Special ratings are issued at the end of

- temporary promotions.
- details.
- special assignments.
- when the current annual rating does not support an Acceptable Level of Competence (ALOC) decision.

Contact CPAC if you have questions.

Appraising *Base System* Employees

Introduction This map explains how to appraise performance of Base System employees.

Steps To appraise performance of Base System employees, follow these steps:

Step	Action
1	Towards the end of the rating period • gather records, including the counseling checklist. • review the employee's performance.
2	Summarize employee duties in Part IV of the evaluation report.
3	Provide comments on Part V, Values and Responsibilities.
4	Review the first responsibility in Part V(b): • Compare employee's performance on objectives and job tasks against standards. • Using levels defined on the form (e.g., Excellence . . . Fails), rate the employee. • Provide bullet examples.
5	Repeat step 4 for each of the remaining responsibilities.
6	After completing Parts I and II of the form, forward it to the intermediate or senior rater. Other actions: • If performance merits a performance award or QSI, complete Part III. • If performance is sub-standard, consult CPAC to consider other required HR actions.
7	Discuss the appraisal with the intermediate or senior rater. Make necessary changes and obtain approval.
8	Based on discussions with your boss or CPAC staff, initiate suitable personnel actions. Examples: • Incentive award. • Performance Improvement Period. • Training request.
9	Discuss appraisal with the employee. Obtain employee signature. Arrange a meeting to set performance objectives for next rating period.

Appraising *Senior System* Employees

Introduction This map explains how to appraise performance of Senior System employees.

Steps

To appraise performance of Senior System employees, follow these steps:

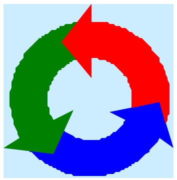
Step	Action
1	Towards the end of the rating period • remind employee to list accomplishments in Part IV(c) of the support form. • gather records, including the support form. • review the employee's performance.
2	Summarize employee duties in Part IV of the evaluation report.
3	Provide comments on Part V, Values and Responsibilities.
4	Review employee's achievement of individual performance objectives and task performance against standards. Determine which objectives will be rated, and rate them.
5	Rate employee's performance in Part VI (a): • An overall rating of Successful Level 1 requires 75 percent of all objectives exceeded and the rest met. • Rating of Successful Level 2 requires 25-74 percent of all objectives exceeded and the rest met. • Rating of Successful Level 3 requires that all objectives be met.
6	Provide bullet comments.
7	Discuss rating with the intermediate or senior rater and obtain approval after making any changes. Other actions: • If performance merits a performance award or QSI, complete Part III. • If performance is sub-standard, consult CPAC to consider other required HR actions.
8	Based on discussions with your boss or CPAC staff, initiate suitable personnel actions. Examples: • Incentive Award. • Performance Improvement Period. • Training request.
9	Discuss appraisal with employee. Obtain employee signature. Set dates for submitting a new support form for next rating period and a meeting to discuss the performance objectives.

Lesson Summary

Introduction

This map summarizes the main points in this lesson.

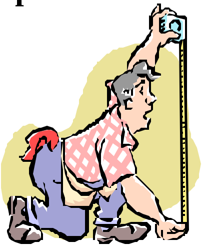
Phases



The performance management process has four phases:

Phase	Description
Defining	discussing expectations, objectives, and standards.
Developing	providing resources, training and coaching.
Reviewing	completing and discussing the appraisal.
Rewarding	using formal and informal methods that fit the performance.

Defining performance

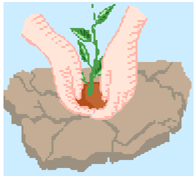


Base System employees must have performance standards recorded on their counseling checklist. This occurs in a counseling session within the first 30 days of each rating period.

Senior System employees must have performance standards recorded on their support form. This occurs in a counseling session within the first 30 days of each rating period.

To build commitment, ask people to provide input on performance objectives.

Developing performance

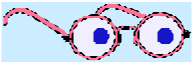


Supervisors must hold at least one mid-term review to

- assess progress.
- identify resource requirements.
- collaborate and overcome obstacles.
- provide training and coaching.

Document these reviews on the counseling checklist or support form.

Reviewing performance



Employees must receive at least one mid-term progress review documented on the counseling checklist or support form. Be sure the rating chain has approved the rating before disclosing it.

Rewarding performance

Use the rating forms to provide deserving achievers a cash performance award or quality step increase.

Use DA Form 1256 to request other awards (time off or on-the-spot cash awards). For more information, see Lesson 6, *Incentive Awards*.

Reference

AR 690-400, Chapter 4302.

Lesson 5—End-of-Lesson Exercises

Instructions Read the situations and questions and select the best answer.

1. To manage performance effectively one must define expected performance and
   a. rate employees against each other to determine the best.
   b. plan, organize, and coordinate.
   c. develop, review, and reward performance.
   d. rotate cash awards to maximize fairness.

2. You just hired a new employee. You must discuss performance objectives within
   a. 120 days.
   b. 90 days.
   c. 60 days.
   d. 30 days.

3. Performance standards
   a. should be defined in broad terms to allow for flexibility.
   b. should be specific and measurable.
   c. are of little value in assessing performance.
   d. bear no relationship to defining performance expected.

4. When holding a performance counseling session
   a. define Army values but don't elaborate on them.
   b. don't discuss Army values, as they're not relevant to performance.
   c. explain Army values and the implications they have for good performance.
   d. tell the rated individual to define the values in his own terms.

5. Which statement is a sound technique to enhance performance?
   a. Train people who lack skills to do assigned work.
   b. Fire people who lack skills to do assigned work.
   c. Demote people who don't progress after training.
   d. Avoid giving feedback—people don't want to hear your views on their performance.

Continued on next page

---

6. Situation: You are Andy Amatoor's supervisor. He occupies a GS-4/5 position. His first year in the position is almost completed, but he is not doing well. He probably expects a promotion, but you don't want to submit the paperwork.

   How should you handle the promotion issue and his performance appraisal?
   a. Promote Andy to GS-05 but counsel him to improve or else.
   b. Take immediate action to remove Andy—his performance is unsatisfactory.
   c. Meet with Andy and discuss the performance objectives he is not meeting.
   d. Ask one of Andy's co-workers how he is doing, then decide.

---

7. Situation: You are Igor Beaver's supervisor. He is a GS-12 being detailed to a special project for 180 days. Duties will substantially differ from current position.

   What should you do?
   a. Nothing—a new performance plan isn't needed until one year passes.
   b. Develop with Igor new performance objectives for the detailed position. Provide a special appraisal at the end of the detail. Consider this appraisal when you complete the annual appraisal.
   c. At the end of the detail, ask Igor to rate his own performance.
   d. Rate Igor now on the standards for his permanent position and disregard the detail for his current rating period. But give him credit for volunteering for the detail.

Lesson 5—Answer Key and Feedback

Instructions Correct choices are highlighted.

1. To manage performance effectively one must define expected performance and
   a. rate employees against each other to determine the best.
   b. plan, organize, and coordinate.
   c. develop, review, and reward performance. (Page 5-2, Phases)
   d. rotate cash awards to maximize fairness.

2. You just hired a new employee. You must discuss performance objectives within
   a. 120 days.
   b. 90 days.
   c. 60 days.
   d. 30 days. (Page 5-4, Timeliness)

3. Performance standards
   a. should be defined in broad terms to allow for flexibility.
   b. should be specific and measurable. (Page 5-5, Definition)
   c. are of little value in assessing performance.
   d. bear no relationship to defining performance expected.

4. When holding a performance counseling session
   a. define Army values but don't elaborate on them.
   b. don't discuss Army values, as they're not relevant to performance.
   c. explain Army values and the implications they have for good performance. (Pages 5-6, Step 6 and 5-7, Step 6)
   d. tell the rated individual to define the values in his own terms.

5. Which statement is a sound technique to enhance performance?
   a. Train people who lack skills to do assigned work. (Page 5-8, Training)
   b. Fire people who lack skills to do assigned work.
   c. Demote people who don't progress after training.
   d. Avoid giving feedback—people don't want to hear your views on their performance.

Continued on next page

---

6. Situation: You are Andy Amatoor's supervisor. He occupies a GS-4/5 position. His first year in the position is almost completed, but he is not doing well. He probably expects a promotion, but you don't want to submit the paperwork.

   How should you handle the promotion issue and his performance appraisal?
   a. Promote Andy to GS-05 but counsel him to improve or else.
   b. Take immediate action to remove Andy—his performance is unsatisfactory.
   c. Meet with Andy and discuss the performance objectives he is not meeting. (Page 5-9, Steps 4 and 5)
   d. Ask one of Andy's co-workers how he is doing, then decide.

---

7. Situation: You are Igor Beaver's supervisor. He is a GS-12 being detailed to a special project for 180 days. Duties will substantially differ from current position.

   What should you do?
   a. Nothing—a new performance plan isn't needed until one year passes.
   b. Develop with Igor new performance objectives for the detailed position. Provide a special appraisal at the end of the detail. Consider this appraisal when you complete the annual appraisal. (Page 5-10, Special ratings)
   c. At the end of the detail, ask Igor to rate his own performance.
   d. Rate Igor now on the standards for his permanent position and disregard the detail for his current rating period. But give him credit for volunteering for the detail.

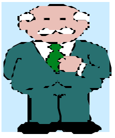
Lesson 6—Incentive Awards

Overview

Introduction

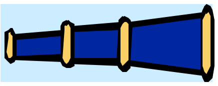
This lesson describes various types of civilian incentive awards and outlines procedures for processing them.

Rationale



People are an organization's most valuable asset. One way to retain quality people is to recognize and reward them for their outstanding work and contributions to the organization. Supervisors must be aware of the types of awards available and use them prudently.

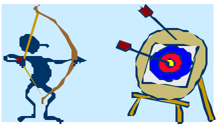
Scope



This lesson focuses on civilian awards.

For information on military awards, see Lesson 11, page 11-14.

Objectives



- Describe at least four different civilian awards.
- Define the criteria for cash-related awards.
- Select awards that fit the degree of recognition deserved.
- Define the guidelines for managing an awards program.

In this Lesson

This lesson contains the following topics:

Topic	See Page
Incentive Awards Programs	6-2
Types of Awards	6-3
Performance Award	6-4
Quality Step Increase	6-5
Special Act or Service Award	6-6
On-the-Spot Award	6-7
Time Off Award	6-8
Honorary Awards	6-9
Other Forms of Recognition	6-10
Managing an Awards Program	6-11
End-of-Lesson Exercises	6-13
Answer Key and Feedback	6-14

Incentive Awards Programs

Introduction

This map briefly describes incentive awards programs for civilian employees.

Regulations

Key Army references for civilian awards:
- AR 672-20, *Incentive Awards*.
- DA Pam 6722-20, *Incentive Awards Handbook*.

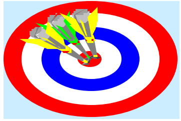
Policy

The Army's policy is to create an organization perceived as the premier federal employer and which fosters mission accomplishment.

EEO

Recognize people for performance and contributions without regard to age, sex, race, color, religion, national origin, marital status, or handicap.

Objectives



Effective incentive award programs accomplish objectives:
- Create a culture of excellence through effective use of awards.
- Promote individual and team achievement to achieve goals and promote efficiency and effectiveness.

Criteria

According to Aubrey Daniels, effective awards are specific, personalized, contingent, sincere, and immediate. From these criteria, Thomas Wilson developed the SMART Model.

SMART model

Effective award programs are
Specific.
Meaningful.
Achievable.
Reliable.
Timely.

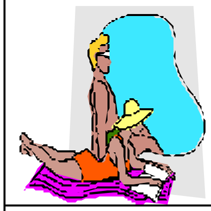
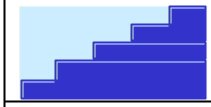
Equity

Equity is implicit to the value of awards. Otherwise they
- lose meaning if bestowed for frivolous reasons.
- ruin morale if outstanding performance is ignored and poor performance rewarded.
- have less impact if given as an afterthought or only after long delay.
- demean the recipient if not presented with decorum and ceremony.

Types of Awards

Introduction This map briefly defines several types of civilian awards.

Types This table list types of civilian awards:

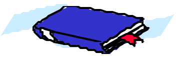
Type	Description
Performance Award	A cash award to recognize high-level performance for a specific period. Tied to performance rating. (See the rating form.)
Special Act or Service Award	A cash award to recognize meritorious personal effort, act, service, scientific, or other accomplishment within or outside job responsibilities.
On-The-Spot Cash Award	A small Special Act or Service Award, $25 to $250, which a supervisor may give for day-to-day accomplishments of subordinates.
Time Off Award 	The immediate supervisor may approve up to one day of time off as an award. Awards exceeding one day and up to 40 hours must be approved at a higher level. A maximum of 80 hours may be granted during a leave year. Note: Time off doesn't convert to pay if unused.
Quality Step Increase 	An additional within-grade pay increase may be awarded to eligible General Schedule employees. Note: The person must earn a rating of Successful Level 1 on the performance appraisal.
Invention Awards	Cash awards granted to federal employees and soldiers to recognize their inventions.
Team or Group Awards	Recognizing team effort by giving team members appropriate individual awards during a group ceremony.
Honorary Awards	Several types of certificates and medals awarded to Army civilians for progressively greater accomplishments.
Public Service Awards	Several types of certificates and medals awarded to civilians not employed by the Army or contractors for progressively greater accomplishments.
Career Service Recognition	All civilian employees are recognized for their length of service in five-year increments. These certificates recognize all federal service, including the military portion.

Performance Award

Introduction

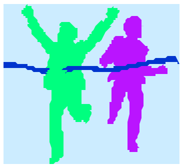
This map describes the use of a monetary performance award.

Definition



A performance award is a cash award given for high-level performance for a specific rating period. Award must be based on an annual rating of record given to the employee.

Eligibility



Appropriated fund employees are eligible if their

- performance rating was a Successful Level 1, 2, or 3.
- contributions to the mission were significant, and
- the nomination is not an automatic request.

Note: Members of the Senior Executive Service (SES) aren‘t eligible for performance awards.

Approval

The approving official should occupy a position at least one level above the nominating official.

Amount

Performance awards are computed as a percentage of pay with a normal maximum award of 10 percent of the person’s base pay. Consult local policies or regulations for the recommended amount.

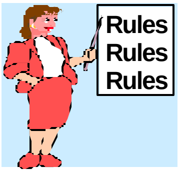
Previous award

Receipt of one or more awards for a suggestion, invention, scientific achievement, or special act or service doesn’t prevent receipt of a performance award unless the basis for the award duplicates a prior achievement award.

Nominations

To prepare a nomination, complete block III of the evaluation report. Remember, the nomination is a separate action from the evaluation report. Don't enter information in Block III until after the evaluation process is complete. Then enter the award information on a copy of the completed evaluation report.

Rules



Don’t nominate someone for a performance award

- for one-time or short performances (see On-the-Spot or Special Act or Service Awards).
- simply because an employee reaches maximum pay level.
- when he has just received or will receive a promotion.

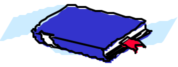
Don’t notify the person until after the award is approved or upon presentation.

Quality Step Increase

Introduction

This map describes the Quality Step Increase (QSI) award.

Definition



A QSI is an additional within-grade pay increase awarded to GS employees.

Eligibility

Permanent GS employees at step 9 or lower with a performance rating of Successful Level 1 for the current rating period are eligible to receive a QSI provided that:

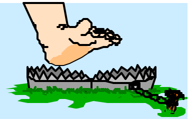
- the person has not received a QSI within the previous 52 weeks,
- and has not received a cash performance award based on the performance being recognized with the QSI.

Nominations

The performance rating form is the justification for a QSI.

Be sure to complete Part III of either DA Form 7222 or DA Form 7223 within 30 days of approval of the rating.

Avoiding traps



Don't award a QSI when someone is

- departing, if the sole reason for the recognition is the departure.
- nearing retirement.
- about to receive a promotion.

Special Act or Service Award

Introduction

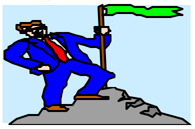
This map describes a Special Act or Special Service Award.

Definition

A Special Act or Special Service Award is a cash award for a meritorious personnel effort, act, service, scientific, or other achievement.

This award is special because
- it's not tied to the performance appraisal cycle, and
- it represents immediate recognition.

Eligibility



Appropriated fund employees are eligible if
- they perform a special act or service.
- an honorary award or performance award is not appropriate.
- the act was not already considered in another award.

Other factors

A Special Act or Service Award may yield either tangible or intangible benefits.

When an award recognizes accomplishment within job responsibilities, the act or service must significantly exceed normal expectations.

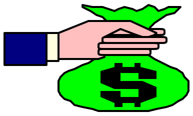
This award may recognize scientific or technological accomplishments including research, publication of articles, or presentation of technical papers.

This award may also recognize accomplishments during a detail, special project, or other short-term activities.

Nomination and approval

Anyone with direct knowledge of an individual's accomplishment, in coordination with the supervisor, may nominate. Approving official should occupy a position at least one level above the nominating official.

Amount



Award amounts vary from $25 to $25,000 per the tables of tangible and intangible benefits. At the lower amounts ($25-$250) the award is "on-the-spot." In setting the amount, the approving official should consider if the individual has already been partially rewarded for the special act or service.

DA Form 1256

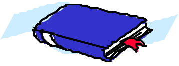
Submit DA Form 1256 within 30 calendar days of the act or service being recognized. Be sure to include
- a short description of the person's achievement.
- category of award.
- award dollar amount.
- signatures of nominating and approving officials.

On-the-Spot Award

Introduction

This map describes the On-the-Spot Award (OTS).

Definition



The OTS Award is a small Special Act or Service Award ($25-$250) presented for an act or service that merits recognition.

Eligibility

All appropriated fund employees are eligible if they perform an act or service that merits recognition.

A person may repeatedly earn an OTS Award. A group may also earn an OTS.

Principle

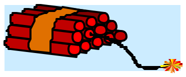
The OTS Award applies the principle that rewards are more effective when we recognize and reinforce good work immediately.

Example 1

An organization that wants to build a culture of success may give people who provide good customer service a local certificate or "gold star."

After earning a few of these, they may qualify for an OTS Award.

Example 2



Sometimes we must complete a project that has a short fuse. When an individual or team hustles to complete a project in little time, they may deserve an award.

When to use

Use an OTS award

- when a person or team does outstanding work but doesn't merit a larger award.
- when performance is exceptional over a short time, but not over a complete rating period, as required for a performance award.
- as a tool to build long-term exceptional performance. It convinces some people that good performance pays off.

Caution: Failing to use the OTS or Time Off Award programs may send the message that you don't value good performance.

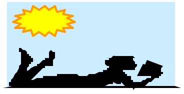
Nominations

Use DA Form 1256 to prepare nominations for OTS awards. Also ensure that people involved process the paperwork quickly.

Time Off Award

Introduction This map describes the Time Off Award (TOA).

Definition The Time Off Award is a form of recognition for an act or service when cash awards are not practical or effective.



Features This table describes key features of the Time Off Award:

Feature	Description
Maximum amount	80 hours of time during a leave year. 40 hours maximum per event recognized.
Minimum amount	One hour.
Authority	Immediate supervisor can approve up to one day. Nominations exceeding one day require higher level approval.
Scheduling	Recipient use TOA within one year of the approval date. Note: TOA doesn't convert to cash. If not used it's lost.
Nomination form	Use a DA Form 1256 to record • short description of achievement. • organizational benefits. • length of time off. • proper signatures.
Processing	CPOC must receive a copy of award and other information so they can process an SF 50.
Calculation	Use the table of tangible benefits to calculate the amount of time off.
Part-time employees	Maximum amount of time per event or year will be pro-rated using the person's average work week. Example: If 20 hours is the average work week, then the maximum TOA is 20 hours per event.

Honorary Awards

Introduction This map describes honorary awards for civilian employees. Most blocks list the approving authority, appurtenances, and nominating forms.

Award	Description
Decoration for Exceptional Civilian Service	Secretary of the Army (SA). Medal, lapel button, certificate. (DA Form 7014).
Meritorious Civilian Service Award	SA or MACOM commander. Medal, lapel button, certificate. (DA Form 7015).
Superior Civilian Service Award	Commander (major general or above). Medal, lapel button, certificate. (DA Form 5655).
Commander's Award for Civilian Service	Commanders (colonel or above) or equivalent civilians. Medal, lapel button, certificate. (DA Form 4689).
Achievement medal for Civilian Service	Commanders (lieutenant colonel or above) or equivalent civilians. Medal, lapel button, certificate. (DA Form 5654).
Certificate of Appreciation for Patriotic Civilian Service	Commanders (lieutenant colonel or above) or SA. Lapel button and certificate. (DA Form 7012).
Civilian Award for Humanitarian Service	Commander (MACOM level or higher). Medal, lapel button, certificate. (DA Form 5652).
SA Award for Outstanding Achievement in Materiel Acquisition	SA. Silver medallion, lapel button, certificate. (DA Form 7129).
Certificate of Achievement	Local commanders or other authorized individuals. (DA Form 2442).
Certificate of Appreciation	Local commanders or other authorized individuals. (DA Form 7013).
Other public service awards	• Decoration for Distinguished Civilian Service (DA Fm 7016). • Outstanding Civilian Service Award (DA Form 7017). • Commander's Award for Public Service (DA Form 5231).

Other Forms of Recognition

Introduction

This map describes other forms of recognition, including career service awards.

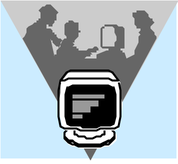
Career Service Award

Federal agencies recognize length of service in five-year increments. The career service award includes a certificate and emblem (pin).

Eligibility

Civilian employees who acquire at least five years combined military and civilian service are eligible for a career service award. However, they must have at least one year of civilian service. Additional recognition occurs at five-year intervals up to 50 years of service.

Nomination



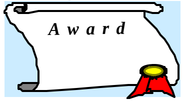
The Army's automated personnel system notifies supervisors when individuals are due a career service award. However, supervisors should already know how much service each employee has.

CPAC provides the OPM certificates and emblems for award periods up to 45 years. The MACOM provides the certificate and emblem for 50 years service.

Foreign nationals

Foreign nationals employed overseas may be awarded either the same certificates and emblems as US citizens or modified versions.

Official recognition



Other forms of official recognition include

- Department of the Army Promotion Certificate—DA Form 4592.
- Invention Awards.
- Suggestion Awards (see AR 5-17).

Unofficial recognition

Use innovative and inexpensive approaches to recognize people.

Examples:

- Luncheons.
- Open praise.
- Local award certificates.
- Letters of appreciation.

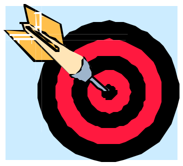
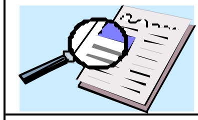
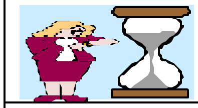
Tip

Before nominating someone for an award, consider the individual's preferences. Not everyone wants cash or elaborate ceremony.

Managing an Awards Program

Introduction This map explains how to manage an awards program in your organization.

Guidelines Previous maps described specific awards. This table presents guidelines for managing an awards program.

Guideline	Description
Establish 	To establish an awards program in you organization • Consider strategic goals and build organizational culture. • Consult CPAC advisor. • Develop a strategy to provide compensation and incentives fairly to all people who merit recognition. • Identify budgetary requirements for awards. • Use the SMART criteria in your program design.
Review 	Review performance of employees and work units regularly. Look for opportunities to provide recognition. Consider the right form of recognition to match the performance.
Anticipate 	Establish suspense dates for performance appraisals. When rating someone's performance, consider possible recognition.
Review EEO	Review proposed and actual awards to assure support of EEO.
Obtain approval	Obtain approval of higher level officials.
Inform	Avoid informing the person until the award is approved.
Present	Schedule and present the award, taking care to build desired organizational culture mentioned above.

Lesson 6—End-of-Lesson Exercises

Instructions Select the best answer.

1. A Time Off Award may
    a. not convert into cash.
    b. convert into cash.
    c. consist of a combination of cash and time off.
    d. exceed 80 hours if the immediate supervisor approves it.

2. To prepare a justification statement for a Quality Step Increase use
    a. DA Form 1256.
    b. formal letter of recommendation.
    c. DA Form 7222 or 7223.
    d. memorandum for record.

3. A Special Act or Service Award is
    a. tied to the performance appraisal cycle.
    b. not tied to the performance appraisal cycle.
    c. a combined cash and Time Off Award.
    d. a substitute for a cash or Time Off Award.

4. Which award requires a DA Form 1256 for nomination?
    a. Performance Award.
    b. Quality Step Increase.
    c. On-the-Spot Award.
    d. Certificate of Promotion.

5. A supervisor can approve a
    a. Time Off Award of one day or less.
    b. Time Off Award of one week or less.
    c. Performance Award.
    d. Superior Civilian Service Award.

6. When managing an awards program, what should you do first?
    a. Review performance files to identify top performances.
    b. Establish a performance rating and review schedule.
    c. Ask your boss for a large pot of incentive award money.
    d. Consider strategic goals and build organizational culture.

Lesson 6—Answer Key and Feedback

Instructions Correct choices are highlighted.

---

1. A Time Off Award may
   - **a. not convert into cash.**
   - b. convert into cash.
   - c. consist of a combination of cash and time off.
   - d. exceed 80 hours if the immediate supervisor approves it.

   (Page 6-3, Time Off Award)

---

2. To prepare a justification statement for a Quality Step Increase use
   - a. DA Form 1256.
   - b. formal letter of recommendation.
   - **c. DA Form 7222 or 7223.**
   - d. memorandum for record.

   (Page 6-5, Nominations)

---

3. A Special Act or Service Award is
   - a. tied to the performance appraisal cycle.
   - **b. not tied to the performance appraisal cycle.**
   - c. a combined cash and Time Off Award.
   - d. a substitute for a cash or Time Off Award.

   (Page 6-6, Definition)

---

4. Which award requires a DA Form 1256 for nomination?
   - a. Performance Award.
   - b. Quality Step Increase.
   - **c. On-the-Spot Award.**
   - d. Certificate of Promotion.

   (Page 6-7, Nominations)

Continued on the next page

Lesson 6—Answer Key and Feedback, Continued

---

5. A supervisor can approve a
   - **a. Time Off Award of one day or less.**
   - b. Time Off Award of one week or less.
   - c. Performance Award.
   - d. Superior Civilian Service Award.

   (Page 6-8, Authority)

---

6. When managing an awards program, what should you do first?
   - a. Review performance files to identify top performances.
   - b. Establish a performance rating and review schedule.
   - c. Ask your boss for a large pot of incentive award money.
   - **d. Consider strategic goals and build organizational culture.**

   (Page 6-11, Establish)

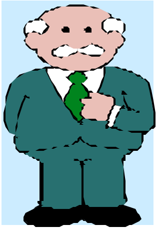
Lesson 7—Managing Discipline and Poor Performance

Overview

Introduction

This lesson describes forms of discipline and procedures for taking disciplinary and performance-based actions.

Rationale

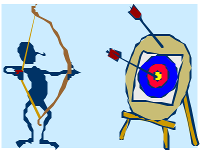


Supervisors use discipline to motivate people to conform to acceptable standards of conduct and to prevent prohibited activities.
Discipline is a part of a supervisor's daily responsibility. It means more than simply reacting when someone breaks the rules.

The supervisor's most effective means of maintaining discipline is through

- promotion of cooperation.
- sustained good working relationships.
- self-discipline and responsible performance expected of mature employees.

Objectives



- Distinguish between performance based and disciplinary actions.
- Identify informal and formal disciplinary measures.
- Name the seven stages in the disciplinary process.
- Describe the components of a performance improvement plan.
- Suggest a solution in two situations requiring discipline.

In this lesson

This lesson contains the following topics:

Topic	See Page
Army Philosophy on Discipline	7-2
The Disciplinary Process	7-4
Oral Admonishment and Oral Reprimand	7-5
Written Reprimand	7-6
Suspension	7-7
Removal	7-9
Douglas Factors	7-10
Poor Job Performance	7-11
Opportunity to Improve	7-12
End-of-Lesson Exercises	7-14
Answer Key and Feedback	7-16

Army Philosophy on Discipline

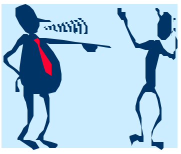
Introduction

This map describes the Army's philosophy on discipline.

Purpose

Purpose of discipline is to train, correct, or guide. This includes motivating employees to conform to standards of conduct and prevent prohibited activities.

Categories



Employee conduct requiring discipline falls into four categories:

Behavioral offenses for which *progressive* discipline is used to change inappropriate behavior.

Violation of regulations or laws for which *punitive* sanctions are required.

Informal discipline:

- Counseling.
- Oral admonishment and oral reprimand.
- Written warning.
- Documentation (requiring a doctor's note for sick leave approval).

Formal discipline:

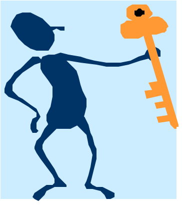
- Reprimand.
- Suspension.
- Demotion.
- Removal.

Applying

Discipline should

- be constructive and stress prevention rather than punishment.
- be taken only when necessary and then promptly and equitably.
- focus on correcting, rehabilitating, and developing employees.
- encourage acceptance of responsibility and adherence to standards.
- fit the offense—like penalties for like offenses in like circumstances.

Instilling



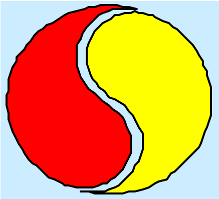
Most people want some standard of acceptable conduct, and good leaders instill it by

- setting the example.
- providing orientation and training.
- reinforcing Army values and adopting a positive management style.
- setting limits for acceptable behavior.
- helping people achieve worthy personal and organizational goals.
- promoting a sense of cooperation and teamwork.
- encouraging self-discipline and responsibility expected of mature people.

Continued on next page

Army Philosophy on Discipline, Continued

Performance based and disciplinary actions



In maintaining discipline, keep in mind the distinction between performance based and disciplinary actions. An employee may subject himself to disciplinary action because of failure to meet performance requirements, misconduct, or a combination of both.

If the problem is purely job related, its solution lies in *performance-based actions* ranging from closer supervision to removal.

If misconduct occurs, measured *disciplinary actions* ranging from an oral reprimand to removal might be appropriate.

If the problem is twofold, it might call for a twofold solution.
Example: Formal counseling and OJT.

Underlying Problems

Poor performance or misconduct may occur because of underlying problems:

- Illness.
- Disability.
- Substance abuse.
- Personality conflict.
- Family problems.
- Lack of training.
- Low job morale.

Referral

The nature of the problem will determine the course of action taken. Maybe the employee should be referred to the Employee Assistance Program for drug or alcohol abuse counseling, or a fitness-for-duty medical exam may be needed to determine physical or mental capability to do the job.

Errors

Where did I go wrong?

This table describes common errors to avoid when disciplining employees.

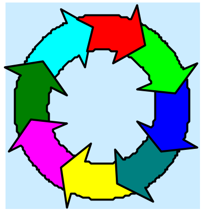
Error	Description
Delay	Allowing problem to continue too long before correction.
Poor communication	Failing to communicate rules and requirements.
Inconsistency	Inconsistent enforcement of rules. Uneven or arbitrary penalties for similar offenses.
Avoidance	Reassigning employees rather than correcting problems.
Anger	Basing disciplinary action on personal anger.
Lack of facts	Failing to investigate before recommending action.
Wrong procedure	Procedural errors, such as delaying action without cause.
Failure to coordinate	Failure to coordinate proposed disciplinary action and decision letters with the CPAC and Legal Office.

The Disciplinary Process

Introduction

This map describes stages in the disciplinary process, identifies types of formal discipline, and refers to the Table of Penalties.

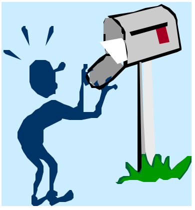
Stages



This table outlines seven stages in the disciplinary process.

Stage	Description
Incident	Observe behavior or learn of the incident.
Investigation	Gather facts. Includes discussing incident or alleged misconduct with the employee.
Consultation	If needed, consult a CPAC specialist to determine suitability of informal or formal discipline and identify procedures.
Counseling	If informal discipline is fitting, carry it out at this stage.
Proposal	If formal discipline is necessary, prepare a proposal letter.
Response	Allow the employee an opportunity to reply.
Decision	Deciding official • considers employee's response and the Douglas factors. • issues decision letter, which supports, modifies, or cancels proposed action.

Formal discipline



This map defines four types of formal discipline.

Type	Description
Written reprimand	A letter to the employee—contents: • The offense. • The retention period for the reprimand. • A warning about future offenses. Copy filed in the employee's Official Personnel Folder (OPF).
Suspension	Employee placed on a non-duty status for a certain period, with loss of pay. If the suspension exceeds 14 days, the employee must be advised of adverse action appeal rights.
Demotion	Permanent reduction in grade level and pay.
Removal	Permanent separation from the agency or federal service.

Table of penalties

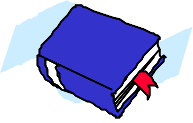
Table of Penalties in AR 690-700, Chapter 751 suggests a range of penalties. It's a guide to discipline, not a rigid standard. Access the table through PERMISS, the on-line reference for personnel management concepts and policies. Web site: http://cpol.army.mil/

Oral Admonishment and Oral Reprimand

Introduction

This map explains two informal disciplinary actions: oral admonishment and oral reprimand.

Definitions



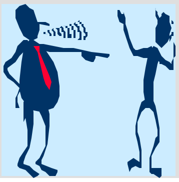
An oral admonishment is a reminder or warning to caution one about minor misconduct or an infraction.

An oral reprimand is a sharp or severe scolding for minor misconduct or an infraction.

These disciplinary actions are

- informal—no prescribed formal or procedural requirements and no record is placed in the employee's official personnel folder.
- not adverse.
- the least severe penalties in the Army disciplinary program.

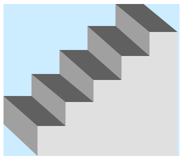
Advantages



Oral admonitions and oral reprimands are normally the first steps in progressive discipline for behavioral offenses. Take these measures to correct minor misconduct. If applied in a timely, objective, and assertive manner, they can be powerful tools to maintain discipline.

A simple admonishment or reprimand may be all that's needed, especially with an employee with no previous history of violations.

Procedure



To administer an oral admonishment or oral reprimand, take these steps:

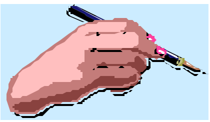
Step	Action
1	Based on fact and circumstances surrounding the incident, determine if the behavior warrants an oral admonishment or oral reprimand.
2	Inform the employee of the misconduct or infraction and exactly when and where it occurred.
3	Allow the employee to explain his side of the story.
4	Inform the employee that you are taking disciplinary action through an admonishment or reprimand.
5	Advise the employee that continued violations would result in formal disciplinary action.
6	Document the session either with an MFR or an entry on SF 7-B (Employee Record). Caution: Don't place any related document in the employee's OPF.

Written Reprimand

Introduction

This map describes a formal disciplinary action—the written reprimand.

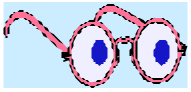
Characteristics



A written reprimand

- is the least severe formal penalty.
- is a temporary action.
- doesn't require a proposal letter or response period.
- doesn't affect pay.

Procedure

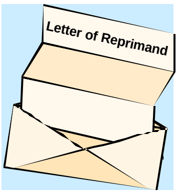


To prepare a written reprimand

- first, investigate the incident.
- then discuss it with the employee.
- prepare the letter if warranted.

Note: Employees have a right to grieve this action.

Contents of letter



A written reprimands should include this information:

- Description of the offense.
- Recount of any former instances or counseling sessions.
- Statement of OPF retention period for the reprimand.
- Warning of more severe action for continued misconduct.
- Grievance rights.
- If appropriate, advice on the Employee Assistance Program.

Sample letter

To see a sample letter of reprimand, visit the PERMISS Web site:

http://cpol.army.mil/

Reprimand withdrawal

A letter of reprimand isn't permanent. CPOC removes it from the OPF when

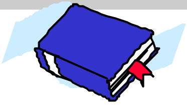
- time expires (no more than three years).
- employee transfers to another agency or activity not serviced by the CPOC.
- adjudicating official determines the reprimand isn't warranted.
- supervisor determines that the employee has corrected the behavior, and the reprimand has served its purpose.

Suspension

Introduction

This map describes a formal disciplinary action—suspension.

Definition



A suspension is an action that places an employee for disciplinary reasons in a non-duty/non-pay temporary status. Ordinarily, it's the final step in the disciplinary process before removal action.

Implications

Regardless of duration, a suspension is an adverse and severe disciplinary action. The SF 50 documenting it becomes a permanent file in the OPF.

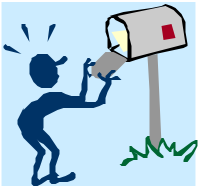
Caution

A suspension prevents an employee from performing work and denies salary for the suspension period. Therefore, a suspension may not be imposed for performance-related factors in non-disciplinary situations.

Period

Suspension period seldom exceeds 30 days. In a suspension exceeding 14 days, the employee is afforded slightly more protection.

Process



Suspension process:

- Employee must receive notice of proposed suspension before it takes effect.
- Deciding official considers employee's response and Douglas Factors.
- Deciding official may reduce a proposed suspension to a lesser penalty.
- Final letter is issued.
- Employee may grieve or appeal a suspension exceeding 14 days.

Proposal letter—
14 days or less

Proposal of *14 days or less* should include this information:

4	**Checklist**
	Description of charge, violation, conduct, or offense.
	Description of facts supporting the charge.
	Statement explaining how the employee's conduct adversely affected the efficiency of the organization.
	Summary of previous offenses, if the suspension follows them and is considered progressive discipline.
	Discussion of aggravating or mitigating factors.
	Explanation of employee's right to respond to the proposal.
	Statement of employee's right to representation.
	Proposed length of suspension.
	Employee's opportunity to review materials.
	A block for the employee to acknowledge receipt.

Continued on next page

Suspension, Continued

Decision letter— 14 days or less

For suspensions of *14 days or less* should include this information:

4	**Checklist**
	Reference to proposal letter.
	Consideration of employee’s response, if any.
	Statement of finding that the charge or charges are supported or not supported by a preponderance of evidence.
	If charge is supported, consideration of the relevant Douglas factors.
	Description of the suspension effective dates (attach SF-50).
	Description of employee’s grievance rights.
	Warning that further incidents could result in more severe action.
	A block for the employee to acknowledge receipt.

Proposal letter— suspensions exceeding 14 days

For suspensions exceeding 14 days, the *proposal* letter must meet time requirements and contain certain statements:

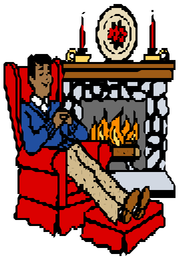
Time:
- At least 30 days advance written notice.
- At least seven days time to respond.

Statements:
- Statement of representation rights.
- Statement that the employee may use a reasonable amount of official time to review the charge or prepare a response.

Sample letters

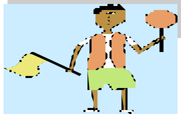
For sample proposal and decision letters, visit the PERMISS Web site.

Alternatives



The situation may make it untenable for an employee to remain at the work site during a notice period that's part of a disciplinary proposal or serious incident.

In this case, the supervisor may
- Assign the employee to other duties.
- Place the employee on leave (with his consent).
- Following normal suspense procedure, suspend the employee pending inquiry or investigation.
- Place the employee on paid, non-duty status.



A suspension has lasting impact on the employee and could have legal consequences for the supervisor if wrongfully applied. Before contemplating or imposing a suspension, always consult CPAC.

Removal

Introduction

This map describes the most severe form of discipline—removal.

Definition

Removal is an involuntary separation of an employee from federal service. It's an adverse action, so an employee must be accorded grievance and appeal rights.

Note: Removal process described here doesn't apply to probationary employees.

Process

Removal process:

- Propose the removal action.
- Allow employee time to respond.
- Consider the response.
- Issue final decision.

Proposal letter contents

A letter proposing removal should include this information:

4	Checklist
	At least 30 days advance written notice of the proposed removal.
	Description of the charge, violation, conduct, or offense.
	Description of facts supporting the charge.
	Statement explaining how conduct adversely affected the organization.
	Summary of previous offenses if the removal follows them and is considered progressive discipline.
	Discussion of aggravating or mitigating factors.
	Explanation of employee's right to respond within a reasonable period (at least seven days).
	Statement of employee's right to representation.
	Statement that the employee may use a reasonable amount of official time to review the charge and prepare a response.
	A block for the employee to acknowledge receipt.

Decision letter contents

A letter communicating a removal decision should include this information:

4	Checklist
	Reference to the proposal letter.
	Consideration of the employee's response, if any.
	A statement of finding that charge or charges are supported or not supported by a preponderance of evidence.
	If supported, consideration of the relevant Douglas factors.
	A statement that the behavior interferes with mission accomplishment.
	Copy of the SF-50 showing the action and effective date.
	Description of relevant grievance or appeal rights.
	A block for the employee to acknowledge receipt.

Douglas Factors

Introduction This map describes factors to consider when contemplating disciplinary action.

Factors

This table lists the 12 Douglas Factors. When weighing possible penalties in a disciplinary action, be sure to consider each factor that applies. Then contact the CPAC for procedure to follow in assessing the appropriate penalty.

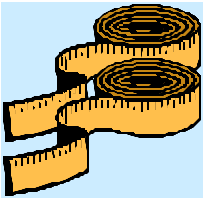
Factor #	Description
1	Nature and seriousness of the offense and its relation to one's duties, position, and responsibilities, including whether the offense was • intentional. • technical. • inadvertent. • committed maliciously or for personal gain. • frequently repeated.
2	Employee's job level and type of employment, including supervisory or fiduciary role, contact with the public, and position's prominence.
3	Employee's past disciplinary record.
4	**Employee's past work record, including** • length of service. • performance on the job. • ability to get along with fellow workers. • dependability.
5	Effect of the offense on one's ability to perform satisfactory work and its effect upon the supervisor's confidence in the employee's ability to perform assigned duties.
6	Consistency of the penalty with those imposed upon others for similar offenses.
7	Consistency of the penalty with the DA Table of Penalties Pertaining to Various Offenses (AR690-700, Chapter 751, C5, Table 1-1).
8	Notoriety of the offense or its impact upon the Army's reputation.
9	Clarity with which an employee was on notice of any rule violated by the misconduct, or had been previously warned about the conduct.
10	Potential for the employee's rehabilitation.
11	Mitigating factors such as unusual job tensions, personality problems, mental impairment, harassment, bad faith, malice, or provocation.
12	Adequacy of alternative sanctions to deter future conduct.

Note: Employees serving a trial or probationary period may not be subject to these considerations. In this case, consult CPAC.

Poor Job Performance

Introduction This map explains how to remedy poor job performance.

TAPES

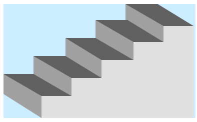


Supervisors use the *Total Army Performance Evaluation System* (TAPES) to monitor and evaluate job performance.

If an employee fails to meet one or more objectives or responsibilities established on DA Form 7222-1 or 7223-1, the supervisor must respond.

Initial steps could include performance counseling, training, or closer supervision.

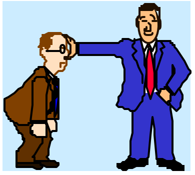
Performance-based actions



To remedy poor job performance, follow these steps:

Step	Action
1	Assess performance.
2	Provide the employee with assessment results and document the counseling session.
3	Develop a performance improvement plan and give the employee a reasonable opportunity to demonstrate acceptable performance. Note: Poor performance may have disciplinary aspects. If so, you may combine performance-based actions and discipline as a remedy.
4	If performance doesn't sufficiently improve, exercise the options listed below.

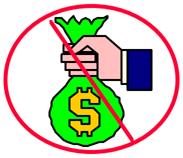
Options



If performance remains unacceptable, more severe actions could include

- reassignment to a more suitable position (if one is available).
- reduction in grade.
- postponing or withholding within-grade increase.
- removal.

Postponing WIGI



If either of these conditions exist, postpone a within-grade increase (WIGI):

Condition 1: Employee's performance is less than satisfactory and he hasn't been given a performance plan or told of specific requirements at least 30 calendar days before the end of the waiting period. *Contact the CPAC!*

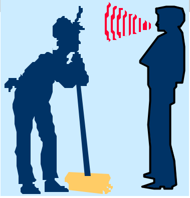
Condition 2: Employee has been reassigned or demoted because of unacceptable performance and is or will be eligible within 60 days for a WIGI. The CPAC should notify the supervisor of the requirement to postpone.

Opportunity to Improve

Introduction

This map explains procedures for remedying poor performance by providing an employee an opportunity to improve.

Notification



If an employee's performance on any objective or responsibility declines to an unacceptable level during the appraisal cycle, the supervisor must act. Tell the employee:

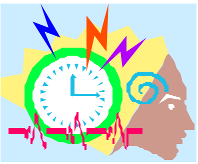
- which performance is unacceptable.
- in what way it's unacceptable.
- exactly what's required to bring it up to the "Success" level.

Performance Improvement Plan (PIP)

The supervisor must provide the employee a reasonable opportunity period to demonstrate acceptable performance. That opportunity process for employees who are not in a probationary or trial period, takes the form of a Performance Improvement Plan (PIP).

For employees in probationary or trial status, consult CPAC.

Time



The supervisor determines the time needed to demonstrate acceptable performance, based on such considerations as

- employee's position,
- extent of the performance problem, and
- nature of the problem.

Normally, the opportunity period is 90-120 days.

Components

The PIP is a formal document that the supervisor should develop with CPAC assistance.

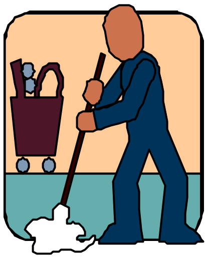
The PIP should specify

- standards not met.
- minimum standards the employee must meet.
- a period for demonstrating improvement.
- actions the employee must accomplish.
- dates for completing actions.
- available assistance.

Continued on next page

Opportunity to Improve, Continued

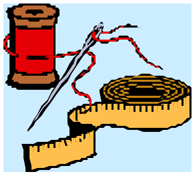
Criteria



Other criteria to consider in PIP notices:

Work products	Focus on ongoing work, not backlog. Consider a normal employee’s capabilities.
Assistance	Be specific, but be sure to deliver. Consider formal training, coaching, job aids, and checklists.
Time tables	Reflect employee and supervisory absences and normal and seasonal work flow.

Supervisory measures



During the opportunity period, the supervisor helps the employee succeed:

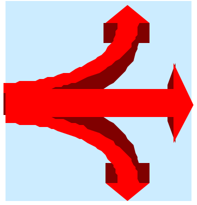
- Closer supervision and counseling.
- Personal task accomplishment demonstration or on-the-job training.
- Supervisory or peer coaching.
- Frequent feedback.
- Special assignments.
- Formal training.
- Referral to the Employee Assistance Program.
- Referral for fitness-for-duty- medical examination.

Removal

When proposing a removal for unacceptable performance, follow guidelines:

- First, give the employee a chance to improve by providing a PIP.
- If performance remains unsuccessful at the end of the performance period, prepare a proposal letter for adverse action.
- List objectives or responsibilities involved. Notice must identify specific instances of unacceptable performance on which you're basing the action.
- The unacceptable performance must have occurred during the one-year period that ends on the date of the proposed notice.

Options



If a suitable vacancy exists, consider a reassignment. If none exists, consider demotion before removal from service. Demotion is also based on availability of a vacant position, whose duties the employee could perform successfully.

- *Start removal action if*
- no suitable vacancy exists, or
- management decides the employee could not adequately perform duties of available vacant positions.

Lesson 7—End-of-Lesson Exercises

Instructions Read the situations and questions and select the best answer.

1. Use progressive discipline to
   a. punish.
   b. change inappropriate behavior.
   c. impose punitive sanctions stemming from violation of laws.
   d. provide a "slap on the wrist."

2. A common error supervisors make when imposing discipline is failure to
   a. coordinate with the CPAC.
   b. get approval from the CPOC.
   c. inform the union.
   d. notify the Inspector General.

3. Which is one of the first steps a supervisor should take in the discipline process?
   a. Propose informal discipline.
   b. Tell the employee what he did wrong.
   c. Investigate the incident or alleged misconduct.
   d. Propose formal discipline, and then consider the employee's response.

4. A demotion is a
   a. temporary reduction in pay.
   b. temporary reduction in grade but not pay.
   c. permanent reduction in grade but not pay.
   d. permanent reduction in grade and pay.

5. Situation: You saw an employee, Harry Hacker, downloading sexually explicit materials from the Internet. You've had no problems with Harry before. What should you do?
   a. Oral admonishment (reminder).
   b. Performance Improvement Period.
   c. Written reprimand.
   d. Demotion.

- ***Continued on next page***

---

6. A letter of reprimand is
   a. filed permanently in an employee's official personnel folder (PPF).
   b. not filed in the OPF.
   c. filed in the OPF for a minimum of three years and may not be withdrawn sooner.
   d. filed in the OPF for a maximum of three years but may be withdrawn sooner.

---

7. The SF 50 documenting a suspension is
   a. filed in the OPF for three years.
   b. filed permanently in the OPF.
   c. withdrawn from the OPF when the employee leaves the organization.
   d. filed permanently with the servicing CPAC.

---

8. Before selecting a penalty for an offense, first consider the
   a. Douglas Factors.
   b. DA Table of Penalties.
   c. bargaining agreement at your installation.
   d. Weingarten Right.

---

9. Dale Hardhart, a driver, has had several accidents recently. Investigation revealed they were due to carelessness. Performance standards refer to correct driving practices.

   How would you handle this problem?
   a. Consider both discipline and performance-based actions.
   b. Since the accidents were not deliberate, counsel Dale informally.
   c. Refer Dale to the Health Clinic for medical examination.
   d. Reassign Dale to a position that doesn't require driving, but take no other action.

Lesson 7—Answer Key and Feedback

Instructions	Suggested solutions highlighted and discussed below.

1. **Use progressive discipline to**
   a. punish.
   b. change inappropriate behavior. (Page 7-2, Categories)
   c. impose punitive sanctions stemming from violation of laws.
   d. provide a "slap on the wrist."

2. A common error supervisors make when imposing discipline is failure to
   a. coordinate with the CPAC. (Page 7-3, Errors)
   b. get approval from the CPOC.
   c. inform the union.
   d. notify the Inspector General.

3. Which is one of the first steps a supervisor should take in the discipline process?
   a. Propose informal discipline.
   b. Tell the employee what he did wrong.
   c. Investigate the incident or alleged misconduct. (Page 7-4, Stage table)
   d. Propose formal discipline, and then consider the employee's response.

4. A demotion is a
   a. temporary reduction in pay.
   b. temporary reduction in grade but not pay.
   c. permanent reduction in grade but not pay.
   d. permanent reduction in grade and pay. (Page 7-4, Formal discipline table)

5. Situation: You saw an employee, Harry Hacker, downloading sexually explicit materials from the Internet. You've had no problems with Harry before. What should you do?
   a. Oral admonishment (reminder). (Page 7-5, Definitions)
   b. Performance Improvement Period.
   c. Written reprimand.
   d. Demotion.

   Discussion: Here, a simple reminder may suffice. Because Internet access may be a new temptation for some people, you may want to remind your whole staff.

• Continued on next page

6. A letter of reprimand is
   a. filed permanently in an employee's OPF.
   b. not filed in the OPF.
   c. filed in the OPF for a minimum of three years and may not be withdrawn sooner.
   d. filed in the OPF for a maximum of three years but may be withdrawn sooner. (Page 7-6, Reprimand withdrawal)

7. The SF 50 documenting a suspension is
   a. filed in the OPF for three years.
   b. filed permanently in the OPF. (Page 7-7, Implications)
   c. withdrawn from the OPF when the employee leaves the organization.
   d. filed permanently with the servicing CPAC.

8. Before selecting a penalty for an offense, first consider the
   a. Douglas Factors. (Page 7-10, Factors)
   b. DA Table of Penalties.
   c. bargaining agreement at your installation.
   d. Weingarten Right.

9. Dale Hardhart, a driver, has had several accidents recently. Investigation revealed they were due to carelessness. Performance standards refer to correct driving practices.

   How would you handle this problem?
   a. Consider both discipline and performance-based actions. (Page 7-11, Performance-based actions, Step 3)
   b. Since the accidents were not deliberate, counsel Dale informally.
   c. Refer Dale to the Health Clinic for medical examination.
   d. Reassign Dale to a position that doesn't require driving, but take no other action.

   Discussion: A judgment call. Because of potential injury to others, discipline is more fitting than performance-based actions alone, such as training or a performance improvement plan.

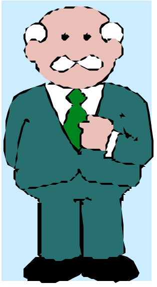
Lesson 8—Labor Relations

Overview

Introduction

This lesson treats various aspects of the labor-management relations program in the federal sector.

Rationale

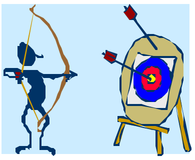


Supervisors must be knowledgeable of the labor relations function, because it can significantly influence other HR functions.

Examples: Labor agreements address these HR Functions:

- Personnel Management and Classification (PM&C) policies, programs, and procedures.
- Merit promotion and staffing programs.
- Reductions-in-force (RIF) or other changes.
- Grievances and processing of adverse actions.
- Management of time and leave programs.
- Hours of work.

Objectives



- Explain briefly when to contact the CPAC for assistance.
- Identify when the Weingarten Right applies.
- Identify a potential unfair labor practice.
- Identify at least two sources of labor relations information.

In this Lesson

This lesson contains the following topics:

Topic	See Page
Legal and Regulatory Basis	8-2
Resolving Labor Issues	8-3
Terms	8-4
Management Rights and Negotiable Issues	8-6
Unfair Labor Practices	8-8
Meetings and Discussions	8-9
End-of-Lesson Exercises	8-10
Answer Key and Feedback	8-12

Legal and Regulatory Basis

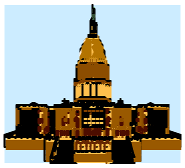
Introduction

This map briefly explains the legal and regulatory framework for labor relations.

Policy

Government policy, per the labor statute, states that labor organizations and collective bargaining in the civil service are in the public interest.

Law

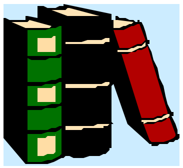


Title 5, Chapter 71, covers labor-management relations, which includes

- management rights and obligations.
- union rights and obligations.
- grievance and arbitration procedures.
- negotiability concepts.
- unfair labor practices.
- formal discussions.

Executive Order 12871 enhances Title 5 by promoting labor-management cooperation.

Other references



Many labor relations policies and practices derive from case law, including decisions by the Federal Labor Relations Authority (FLRA) and the courts.

Further, each installation is affected by labor agreements negotiated with local and national labor organizations. Be sure to read local labor agreements to determine how their provisions affect you as a supervisor.

Delivering labor services

CPAC staff and legal counsel advise Management on labor relations. Labor-management relations are most effective when both parties cooperate and seek partnership.

Questions

When labor relations questions arise, contact CPAC, especially when matters arise that the labor contract doesn’t cover or when changing working conditions.

Normally, you should be able to handle most routine matters explicitly stated in the contract.

Online help

For more information on labor-management issues access *Army Civilian Personnel Online (CPOL)*. Web site: http://cpol.army.mil

Then click on PERMISS (Personnel Management and Support System).

Resolving Labor Issues

Introduction

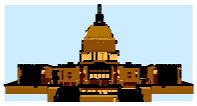
This map explains the roles of three Federal agencies in resolving labor issues.

Government organizations

These organizations support labor policy:

- Federal Labor Relations Authority (FLRA).
- Federal Mediation and Conciliation Service (FMCS).
- Federal Service Impasses Panel (FSIP).

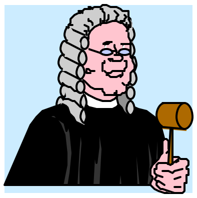
FLRA



The Federal Labor Relations Authority consists of three independent, bipartisan, and full-time members.

It has seven regional offices and a headquarters in Washington, D.C.

Purpose



Purpose of the FLRA is to establish policies and guidelines for federal labor relations by

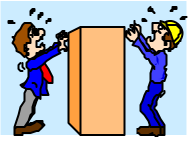
- determining if a bargaining unit is appropriate.
- supervising or conducting elections.
- determining negotiability of union proposals.
- resolving unfair labor practice (ULP) complaints.
- resolving exceptions to arbitration awards.

FMCS

The Federal Mediation and Conciliation Service is responsible for

- mediation.
- dispute resolution.
- consultation.
- problem-solving.
- training.

FSIP

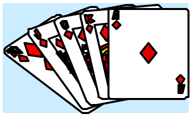
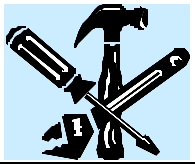
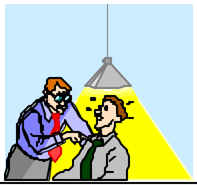


The Federal Service Impasses Panel intervenes when Labor and Management reach an impasse during negotiations.

Either party can engage the FSIP, who can dictate contract language.

Terms

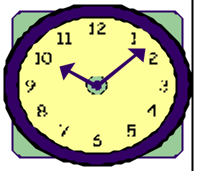
Definitions This map defines terms used in labor relations.

Term	Definition
DoD labor policy	Establish labor-management relationships. Use consensus to resolve labor-management disputes.
Management rights	Management rights include making management decisions and taking personnel management actions. Union notification, though, is often required.
Union rights 	Unions have the right to • negotiate terms and conditions of employment for bargaining unit employees. • represent bargaining unit employees exclusively.
Employee rights	Employees have the right to • form, join, or assist a union, or • refrain from doing so without fear of reprisal.
Unfair Labor Practice (ULP)	A ULP is an action that violates the labor relations statute. Party must file within six months of an incident. The union typically initiates a ULP complaint.
Permissive rights 	Management may permit negotiation on certain of its rights, although they're not obliged. Examples: • technology, methods, and means of performing the work. • numbers, types, and grades of employees or positions assigned to an office, project, or tour of duty. Contact CPAC if Labor wants to negotiate on permissive rights.
Weingarten Right 	Right of an employee to request representation when examined or questioned in an investigation that the employee reasonably believes could result in discipline. To exercise this right, the employee must request representation. Caution: Some local agreements require Management to inform employees of their rights before starting the investigation.
Mid-term changes	As a general rule, when Management determines the need for changes that affect bargaining unit employees' conditions of employment, they must • notify the union. • allow it to request bargaining. • implement the change once bargaining has been completed. Contact CPAC to see if the parties' collective bargaining agreement covers the matter.

Continued on next page

Terms, Continued

Definitions (continued)

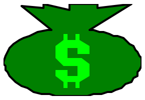
Term	Definition
Official time 	Union officials may use official work time to - negotiate labor contracts. - conduct FLRA business. - represent bargaining unit employees. Amount of official time for representational purposes is negotiable. Refer to the union contract. Caution: Union officials may not use official work time for internal union business.
Bargaining unit 	Bargaining Unit: Employees in a group whom the union represents. The unit is determined when the union is formed. The Federal Labor Relations Authority makes decisions concerning union representation issues. Other employees, like management officials and personnel specialists, are excluded from the unit. Note: Unions must represent all employees in the bargaining unit, including non-union members. These members are not required to pay dues or support the union. However, they're bound by what the union negotiates with Management.
Right to Information Info! Info! Info!	Unions have a right to obtain requested information that's - not prohibited by law. - normally maintained by the organization. - reasonably available and necessary for representation or negotiation. - not management guidance, advice, or training related to collective bargaining. Caution: If entitled to information, unions must have access to it free of charge. Charging a fee would be an unfair labor practice.
Grievance 	A grievance is any claimed violation of the labor-management agreement (LMA) and request for relief by one or more bargaining unit employees or the labor union on behalf of bargaining unit employees. For more information, refer to Lesson 9.

Management Rights and Negotiable Issues

Introduction

This map explains reserved management rights and negotiable issues.

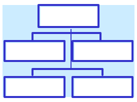
Budget



Management determines the organizational budget.

Unions may negotiate procedures and arrangements for adversely affected employees.

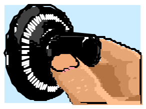
Organization



Management decides when to reorganize.

Unions may negotiate procedures and arrangements for adversely affected employees.

Security



Management decides when to use formal security controls.

Unions may negotiate procedures and arrangements for adversely affected employees.

Hiring

Help Wanted

Management may hire and promote from any appropriate source.

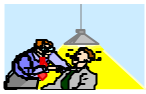
Unions may negotiate procedures and arrangements for adversely affected employees.

Placement

Management has the right to reassign and place employees.

Unions may negotiate procedures and arrangements for adversely affected employees.

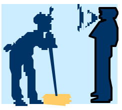
Discipline



Management must maintain order in the workplace.

Unions may negotiate procedures and arrangements for adversely affected employees.

Work



Management has the right to assign work.

Unions may negotiate procedures and arrangements for adversely affected employees.

Contracting

Management may contract out work.

Unions may negotiate procedures and arrangements for adversely affected employees.

Continued on the next page

Management Rights and Negotiable Issues, Continued

Other rights

Other management rights include
- decisions during emergencies.
- selections for appointments.
- determining organizational mission and personnel strength.

Caution

If Management plans to change working conditions of bargaining unit members, they must notify the union.

Management must also consider
- the impact of proposed changes on existing agreement provisions and
- past practice.
- the union's right to bargain on proposed changes.

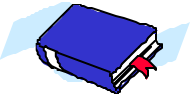
Contact CPAC for advice.

Unfair Labor Practices

Introduction

This map describes unfair labor practices (ULPs).

Definition



5 USC 7116 defines a ULP as an action or deed that violates the labor relations statute.

Filing procedures

Either party (Labor or Management) may file a ULP with the Federal Labor Relations Authority within six months of an incident.

Impact

A ULP can be time-consuming and expensive. While you should not fear frivolous ULP charges, act prudently to prevent them.

Example

Where did I go wrong?

A typical cause of a ULP is a unilateral change to a past practice.

Example:
An installation customarily grants a 15-minute break in the morning and afternoon. A new Director of Maintenance breaks precedent by reducing the break to ten minutes without permitting the union to request negotiations.

The union files a ULP.

Avoiding complaints

To avoid complaints
- comply with the labor relations statute and the local agreement.
- establish partnerships with labor organizations.
- apply labor agreements fairly and consistently.

Trust

Mutual trust can avoid ULPs. To build trust
- know the provisions of your labor agreements and abide by them.
- develop open communications with labor representatives.
- share information the union is entitled to. Consider inviting labor representatives to sit on planning boards. This enables them to express concerns before problems arise.
- alert your boss if you think someone has made an incorrect or arbitrary decision.

Meetings and Discussions

Introduction

This map describes circumstances when Management must inform labor organizations of formal discussions.

Formal discussions

When Management holds formal meetings and discussions with bargaining unit employees, labor organizations have a right to be informed and attend.

Some characteristics to consider in determining if a meeting is a formal discussion:
- Written agenda.
- Presence of the supervisor or higher management official.
- Location in a formal setting.
- Formal methods to schedule and announce the meeting.
- Mandatory attendance.
- Meeting is of sufficient length to preclude impromptu meetings.
- Formal procedures to conduct the meeting, record attendance, and report results.
- Discussion of such topics as grievances, personnel policies or practices, and general conditions of employment.

Note 1: Not all factors must be present for a finding that a meeting is a formal discussion.

Note 2: Management may hold informal meetings or discussions without notifying Labor. When in doubt if a meeting is informal or formal, ask CPAC.

Notification

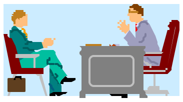
Management is responsible for notifying the union of formal discussions and inviting them. Management typically notifies Labor at the beginning of the fiscal year about recurring meetings.

In addition, staff organizations inform Labor of special studies, surveys, inspections, and other types of meetings or discussions by providing annual schedules or notice of special events.

Attendance

Labor has the right of invitation and attendance at formal meetings and discussions. Labor may comment during the meeting but can't disrupt it.

Counseling



Labor doesn't have the right to attend employee counseling or discipline sessions, unless the local agreement authorizes it.

Exception: See Weingarten Right, page 8-4.

Lesson 8—End-of-Lesson Exercises

Instructions Read the situations and questions and select the best answer.

1. Contact CPAC for advice when you face
   a. an issue that the local labor agreement covers.
   b. an issue that the local labor agreement doesn't cover.
   c. a question about TAPES.
   d. a question about your work schedule for the unit.

2. The Weingarten Right applies when an employee requests representation and is being
   a. interviewed for promotion and doesn't like the interviewer.
   b. counseled for poor performance.
   c. oriented to a new job.
   d. questioned in an investigation and believes he will be disciplined.

3. Situation: For years, employees and supervisors used microwave ovens in their break rooms at Camp Swampy. A new commander arrived and ordered their use be stopped. Labor agreement doesn't cover this situation.

   Was a ULP committed?
   a. Yes.
   b. No.
   c. MSPB must decide.
   d. OPM must decide.

4. Situation: A supervisor at Camp Swampy, holds an impromptu meeting with his crew to discuss procedure for reporting their production time. Meeting lasts about 20 minutes and is confined to the subject. Labor agreement doesn't cover this situation.

   In this situation the supervisor
   a. must notify the union and allow it to send a representative to the meeting.
   b. give the union a chance to send a representative, but only if one of the crew requests one.
   c. isn't obliged to notify the union or allow it to be represented.
   d. doesn't need to notify the union but must allow the steward to attend, if so requested.

Continued on next page

5. Situation: Jane Dough, a Camp Swampy bargaining unit employee, goes AWOL for the third time in a month. The first two instances resulted in an oral warning and a written reprimand. In the latest instance, her supervisor presents her with a letter proposing a one-day suspension. Labor agreement doesn't cover this situation.

   Which statement applies to this situation?

   a. Management should invite the union to represent Dough at the meeting.
   b. If Dough requests representation at the meeting, Management must assure she gets it.
   c. Dough has no right to representation at the meeting.
   d. If Dough requests representation at the meeting, Management must give the union an opportunity to represent her.

Lesson 8—Answer Key and Feedback

Instructions	Suggested solutions highlighted and discussed below.

1. Contact CPAC for advice when you face
   a. an issue that the local labor agreement covers.
   b. an issue that the local labor agreement doesn't cover. (Page 8-2, Questions)
   c. a question about TAPES.
   d. a question about your work schedule for the unit.

2. The Weingarten Right applies when an employee requests representation and is being
   a. interviewed for promotion and doesn't like the interviewer.
   b. counseled for poor performance.
   c. oriented to a new job.
   d. questioned in an investigation and believes he will be disciplined. (Page 8-4, Weingarten Right)

3. Situation: For years, employees and supervisors used microwave ovens in their break rooms at Camp Swampy. A new commander arrived and ordered their use be stopped. Labor agreement doesn't cover this situation.

   Was a ULP committed?
   a. Yes. (Page 8-8, Example)
   b. No.
   c. MSPB must decide.
   d. OPM must decide.

Discussion: All elements of a past practice were present:

- Eating facilities were a condition of employment.
- People used Microwaves for an extended time.
- Management knew and consented to the practice.

Management can abolish a past practice only by negotiation. IRS, 27 FLRA No. 45.

Continued on next page

---

4. Situation: A supervisor at Camp Swampy, holds an impromptu meeting with his crew to discuss procedure for reporting their production time. Meeting lasts about 20 minutes and is confined to the subject. Labor agreement doesn't cover this situation.

   In this situation the supervisor
   a. must notify the union and allow it to send a representative to the meeting.
   b. give the union a chance to send a representative, but only if one of the crew requests one.
   c. isn't obliged to notify the union or allow it to be represented.
   (Page 8-9, Note 2)
   d. doesn't need to notify the union but must allow the steward to attend, if so requested.

Discussion: In this situation the meeting is informal:

- No agenda.
- No higher level management official is present.
- Meeting is impromptu.

Management need not notify unions nor permit them representation at such shop floor discussions. GPO, 17 FLRA No. 122.

---

5. Situation: Jane Dough, a Camp Swampy bargaining unit employee, goes AWOL for the third time in a month. The first two instances resulted in an oral warning and a written reprimand. In the latest instance, her supervisor presents her with a letter proposing a one-day suspension. Labor agreement doesn't cover this situation.

   Which statement applies to this situation?
   a. Management should invite the union to represent Dough at the meeting.
   b. If Dough requests representation at the meeting, Management must assure she gets it.
   c. Dough has no right to representation at the meeting. (Page 8-9, Counseling)
   d. If Dough requests representation at the meeting, Management must give the union an opportunity to represent her.

Discussion: Dough has no statutory right to union representation here. She is not being *examined* as part of an *investigation*. Neither her belief that disciplinary action will follow nor a request for representation triggers the Weingarten Right in this case.
Wright-Patterson AFB, 9 FLRA No. 117.

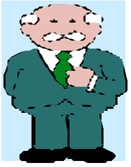
Lesson 9—Complaints, Grievances, and Appeals

Overview

Introduction

This lesson explains procedures for submitting and resolving complaints, grievances, and appeals.

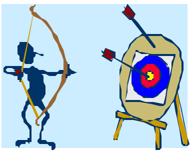
Rationale



In the best of worlds people wouldn't have reasons (real or imagined) to file complaints and grievances. However, most of us don't live in the best of worlds.

Supervisors must be aware of the options employees have when filing complaints, grievances, or appeals.

Objectives



- Explain the difference between grievance procedures for bargaining unit and *non*-bargaining unit employees.
- Describe how grievances are processed under the Administrative Grievance System (AGS) and Negotiated Grievance Procedure (NGP).
- Explain the purpose of the Merit System Protection Board and list the categories of employees it covers.

In this lesson

This lesson contains the topics listed below:

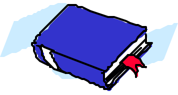
Topic	See Page
Types of Complaints, Grievances, and Appeals	9-2
Administrative Grievance System	9-3
Administrative Grievance System Procedure	9-4
Negotiated Grievance Procedure	9-5
Merit System Protection Board—Appeal Process	9-6
End-of-Lesson Exercises	9-7
Answer Key and Feedback	9-8

Types of Complaints, Grievances, and Appeals

Introduction

This map briefly describes various complaint, grievance, and appeal procedures.

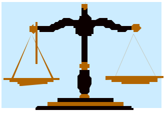
Definition



For simplicity, we define a grievance as any complaint by

- any employee on any matter concerning his employment.
- any claimed violation of the labor-management agreement (LMA) and request for relief by one or more bargaining unit employees or the labor union on behalf of bargaining unit employees.

Grievance policy

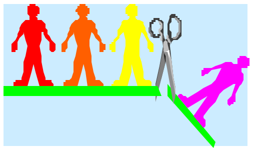


Employees have the right to

- be treated equitably.
- present grievances.
- receive a prompt consideration and a fair decision.
- have a representative.
- be free from restraint, coercion, discrimination, or reprisal.

Types

This table lists six types of complaint, grievance, and appeal procedures:

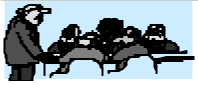
Type	Description
EEO Complaint	Allegations of discrimination or sexual harassment.
FLSA Complaint	Allegations of violations of the Fair Labor Standards Act. Example: uncompensated overtime.
Administrative Grievance System (AGS)	DoD system for *non*-bargaining unit employees to grieve • working conditions. • adverse actions. • work relationships. • application of personnel policies.
Negotiated Grievance Procedure	System for bargaining unit employees to grieve issues specified in the negotiated agreement.
Position Classification Appeal	Complaints about the classification and pay level assigned to the employee's position.
Merit Systems Protection Board (MSPB) Appeal 	The MSPB appeal system covers *non*-bargaining unit and in some cases bargaining unit employees who appeal significant personnel actions such as • reduction in force (RIF). • suspensions exceeding 14 days. • demotions. • removals.

Administrative Grievance System

Introduction

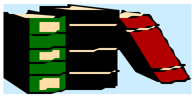
This map describes the Administrative Grievance System (AGS).

Purpose



The AGS is a forum for an equitable and timely review and resolution of disputes on employment-related matters arising within Department of Defense.

References



Key references for AGS:

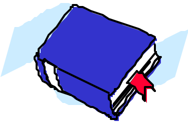
- CFR, Part 771.
- DoD 1400.25M, S-42, Chapter 771.

Coverage

The AGS covers

- *non*-bargaining unit employees.
- bargaining unit employees if there is no negotiated grievance procedure, or if the procedure excludes the matter at issue.

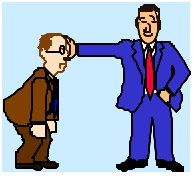
Definitions



A bargaining unit employee is one who falls under the purview of a negotiated agreement between an organization’s management and a union. The agreement usually describes procedures for processing grievances.

A *non*-bargaining unit employee is one who doesn’t fall under a negotiated agreement. Examples could include management officials and supervisors.

Exclusions



The AGS doesn’t adjudicate grievances arising from these matters:

- Non selection for promotion.
- Content of regulations and policies.
- Matters subject to negotiated agreement or other appeal body.
- Preliminary warnings.
- Terminations during a probationary period.
- The content of performance standards or work objectives.
- Incentive awards.

Administrative Grievance System Procedure

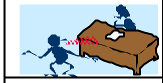
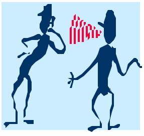
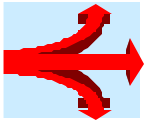
Introduction

This map describes a two-part procedure for submitting and resolving a grievance under the AGS:

- Problem-solving procedure.
- Formal grievance procedure.

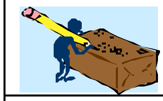
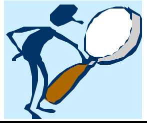
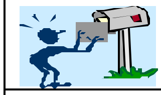
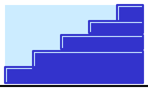
Problem solving

The problem-solving procedure occurs in these steps:

Step	Action
1 	Employee makes informal presentation to Management, normally within 15 days of the incident.
2 	Management responds within 15 days. If the employee request was • oral, the reply may be oral or written. • written, the reply must be written. Note: Use of a neutral party (mediator) is encouraged.
3 	If Management's response doesn't satisfy the employee, they must inform him about available grievance and appeal options. These include classification appeals and EEO complaints.

Formal grievance

The formal grievance procedure occurs in these steps:

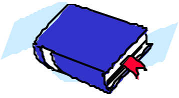
Step	Action
1 	Employee files a written grievance within 15 days of • the problem-solving process decision. • or the event causing the grievance.
2 	Deciding official • selects investigative method. • approves grievant's choice of a representative. • sets limits to official time allotted to the investigation.
3 	Within 60 days, the deciding official provides a written decision to the employee. Deadline may be extended to 90 days if settlement is possible.
4 	If the deciding official fails to respond, the grievant may ask for a decision by the next higher level, who will issue a written decision.

Negotiated Grievance Procedure

Introduction

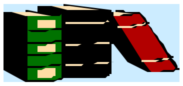
This map describes the Negotiated Grievance Procedure (NGP).

Definition



The NGP is the exclusive procedure for resolving complaints raised by bargaining unit employees on matters covered by the labor agreement. The NGP leads to binding arbitration.

References



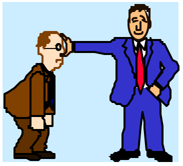
Key references for NGP:
5 USC 71.
The applicable LMA.

Coverage

The NGP covers all bargaining unit members. Bargaining unit employees may be represented by the union or may represent themselves.

However, the union has the right to be present during grievance proceedings.

Exclusions



The NGP excludes grievances involving

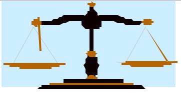
- prohibited political activities.
- retirement, life insurance, or health insurance.
- suspensions or removals for reasons related to national security.
- any examination, certification, or appointment.
- position classification that doesn't result in a grade or pay reduction.
- any other matter excluded by mutual agreement of the parties.

Merit System Protection Board—Appeal Process

Introduction

This map explains how the Merit System Protection Board (MSPB) functions.

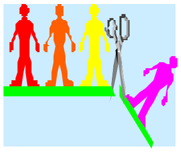
Purpose



The MSPB operates like a court to

- ensure agency actions against employees are based on merit principles.
- adjudicate employee appeals.

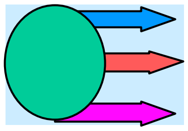
MSPB Appeal



The MSPB appeal system covers *non*-bargaining unit and in some cases bargaining unit employees who appeal significant personnel actions such as

- reduction in force (RIF).
- suspensions exceeding 14 days.
- demotions.
- removals.

Options

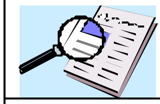
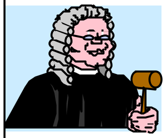


This table lists appeal options of different categories of Federal employees:

• Category	**May appeal if**
Competitive service	• not serving a probationary period, • completed at least one year of service, and • appointed to a position scheduled to exceed one year.
Excepted service	• preference eligible, and • completed one year of continuous service.
Non-preference-eligible excepted	• no longer in a probationary status and is pending conversion to the competitive service, or • completed two years of service in an appointment scheduled to exceed two years.

Steps

This table outlines the four steps in the MSPB appeal procedure:

Step	**Action**
1	Appellant files petition for appeal.
2	Agency files initial response.
3 	When an appellant requests a hearing. Then the discovery process is used to exchange information among the parties.
4 	**When** • discovery is completed, or • if appellant doesn't request a hearing. Then the MSPB administrative judge makes the decision.

Lesson 9—End-of-Lesson Exercises

Instructions Select the best answer.

1. A *bargaining unit* employee complains that his position is a higher grade at another Army installation. He also complains that the position description doesn't adequately describe major duties and responsibilities.

   Refer the employee to the
   a. EEO complaint process.
   b. MSPB appeal process.
   c. negotiated grievance process (if covered in the agreement).
   d. OPM or DoD's position classification appeal process.

2. The Merit Systems Protection Board handles
   a. allegations of discrimination.
   b. allegations of violations of the Fair Labor Standards Act.
   c. appeals submitted by non-bargaining unit employees.
   d. position classification appeals.

3. A *non*-bargaining unit employee renders an oral complaint about his work station arrangement. Your initial strategy will be to
   a. resolve the issue within 15 days through a problem-solving process.
   b. request your boss to issue a written decision within 21 days.
   c. issue a written decision yourself within 30 days.
   d. contact the union to provide the employee a representative.

4. The Negotiated Grievance Procedure resolves grievances involving
   a. political activities.
   b. health insurance.
   c. suspensions or removals related to national security.
   d. matters covered by the labor agreement.

Lesson 9—Answer Key and Feedback

Instructions Correct choices are highlighted.

1. A *bargaining unit* employee complains that his position is a higher grade at another Army installation. He also complains that the position description doesn't adequately describe major duties and responsibilities.

   Refer the employee to the
   a. EEO complaint process.
   b. MSPB appeal process.
   c. negotiated grievance process (if covered in the agreement).
   (Page 9-2, Negotiated Grievance Procedure)
   d. OPM or DoD's position classification appeal process.

2. The Merit Systems Protection Board handles
   a. allegations of discrimination.
   b. allegations of violations of the Fair Labor Standards Act.
   c. appeals submitted by non-bargaining unit employees. (Page 9-2, MSPB Appeal)
   d. position classification appeals.

3. A *non*-bargaining unit employee renders an oral complaint about his work station arrangement. Your initial strategy will be to
   a. resolve the issue within 15 days through a problem-solving process.
   (Page 9-4, Problem Solving Steps 1 and 2)
   b. request your boss to issue a written decision within 21 days.
   c. issue a written decision yourself within 30 days.
   d. contact the union to provide the employee a representative.

4. The Negotiated Grievance Procedure resolves grievances involving
   a. political activities.
   b. health insurance.
   c. suspensions or removals related to national security.
   d. matters covered by the labor agreement. (Page 9-5, Definition)

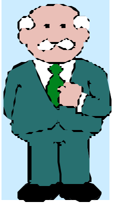
Lesson 10—Hours of Work and Leave

Overview

Introduction

This lesson describes categories of work and leave that apply to the civilian workforce.

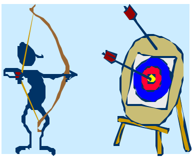
Rationale



Supervisors must manage employee hours of work and leave prudently and equitably. Not only does efficient management require this, but excellent leadership demands it.

A supervisor who fails to manage work and leave schedules and tolerates sick leave abuse will become very visible and subject to the scrutiny of peers and superiors.

Objectives



- Briefly define at least three types of leave.
- Briefly explain at least three supervisory responsibilities.
- List correctly at least two sources of information.
- Select the right solution in three situations related to overtime or leave.

In this Lesson

This lesson contains the following topics:

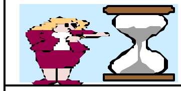
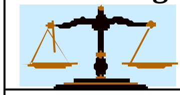
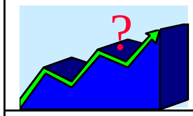
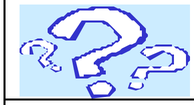
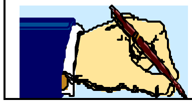
Topic	See Page
Supervisory Responsibilities	10-2
Terms	10-3
Overtime	10-4
Types of Leave	10-5
Annual Leave	10-6
Sick Leave	10-7
Sick Leave Abuse	10-8
Special Programs	10-9
Tips for Leave Administration	10-10
End-of-Lesson Exercises	10-11
Answer Key and Feedback	10-14

Supervisory Responsibilities

Introduction This map describes supervisory responsibilities for time and leave management.

Policy Supervisors must comply with laws, labor agreements, and local regulations to make decisions that preserve employee leave entitlements while accomplishing mission work.

Responsibilities Supervisory responsibilities summarized in this table:

Responsibility	Description
Overtime 	Administer the Fair Labor Standards Act and Title 5, USC fairly, consistent with local labor agreements or command policies.
Scheduling 	Establish work schedules that balance mission requirements with people's needs or rights.
Leave approval	Review, approve, or disapprove leave requests.
Accountability	Delegate authority but also ensure subordinates maintain accountability and don't abuse sick leave or overtime.
Trend analysis 	Monitor time and attendance. Identify adverse trends. Take corrective action.
Orientation	Explain local time and leave policies to new arrivals.
Questions 	Field employee questions and provide timely and accurate responses.
Authorization 	Sign time cards and leave slips. Perform equivalent functions with an automated attendance and payroll system.

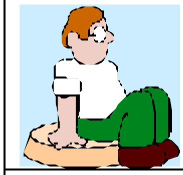
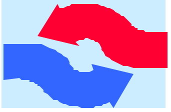
Terms

Introduction

This map defines key terms in leave administration that apply to the civilian workforce.

Definitions

Key terms defined in this table:

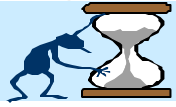
Term	Definition
Administrative workweek	Generally a calendar week, 0001 Sunday to 2400 the following Saturday.
Regular tour of duty	Scheduled work time within administrative workweek; 40 hours spread over consecutive days.
Part-time tour	Regular tour of duty less than 40 hours per week.
Intermittent tour	Irregular, unscheduled duty not exceeding 39 hours per week.
Normal tour	The basic workweek is eight hours per day Monday through Friday, with starting, ending, and meal times determined locally.
Special tour 	May involve • standby duty. • night duty. • on-call duty. • rotating tour.
Rest period 	Activity commanders may permit short rest periods during the daily tour when they're beneficial or necessary. Labor agreements usually define rest periods for bargaining unit employees.
Flexitime 	A special schedule in which starting and ending times among employees may vary, but each is present during core hours. Note: One may use extra time worked on one day to offset an equivalent absence in the same workweek.
Overtime	Generally, work exceeding eight hours a day or 40 hours a week. See FLSA or Title 5 USC.
Exempt and non-exempt status	Exempt status: An employee covered by the overtime provisions of Title 5 USC. Non-exempt status: An employee covered by the overtime provisions of the Fair Labor Standards Act. Tip: Status is noted on the position description.

Overtime

Introduction

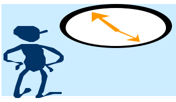
This map briefly explains the supervisor's responsibility for managing overtime.

Obligation



Supervisors must follow overtime provisions of Title 5, USC, and the Fair Labor Standards Act. They should plan, schedule, and assign overtime work in advance, except for unusual emergencies.

FLSA



Per the Fair Labor Standards Act, supervisors must ensure *non-exempt* employees don't work overtime without compensation. The Act doesn't allow supervisors to "suffer or permit" *non-exempt* employees to work overtime without compensation.

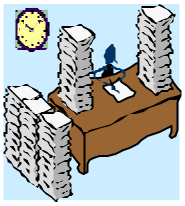
Examples

Examples: Allows or expects a *non-exempt* employee to

- arrive at work early.
- work during lunch.
- work after quitting time.
- work on the weekend.

If this happens, he would have a legitimate claim for overtime compensation.

Title 5

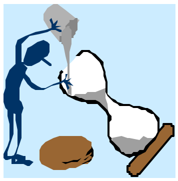


Title 5 doesn't extend *exempt* employees the same protection as the non-exempt. Exempt employees may not be compensated unless they

- gain approval for the overtime in advance.
- make other special arrangements (e.g., annual premium pay).

Example: An exempt supervisor who, without approval, works late at night to complete performance appraisals is not entitled to overtime.

Comp time



Guidelines:

- Employees may request compensatory time (comp time) instead of overtime pay.
- Non-exempt employees may not be directed to take comp time instead of overtime pay.
- Exempt employees whose rate of pay exceeds maximum rate for GS-10 may be directed to take comp time instead of overtime pay, if so directed.

Caution

Comp time earned but unused within 26 pay periods converts to paid overtime.

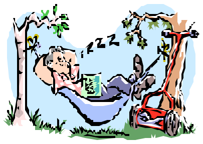
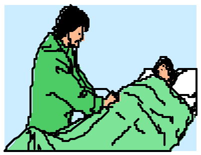
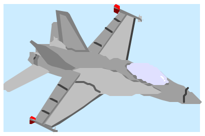
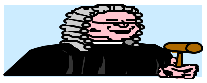
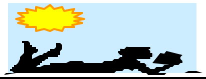
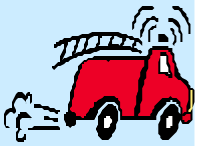
Types of Leave

Introduction

This map describes leave categories.

Categories

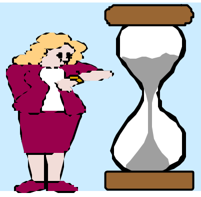
This table briefly defines leave categories:

Category	Description
Annual leave 	Leave for vacation and personal business. Should schedule in advance. Note: An employee also has the option of using annual leave in lieu of sick leave.
Sick leave 	Leave for • personal illness. • incapacitation. • medical or dental appointments. • care of ill family members with a contagious disease.
Military leave 	Federal employees who are members of the reserves accrue military leave to participate in military training. Permanent employees accrue 15 days per year; others are pro-rated.
Court leave 	Applies to jury duty or testifying in court. Available to all except intermittent employees.
LWOP	LWOP (leave without pay). A non-work, non-pay category that's subject to the supervisor's approval.
AWOL 	AWOL (absence without leave). A non-work, non-pay category that the supervisor has not approved and may result in disciplinary action.
Admin dismissal 	Commanders may declare an administrative dismissal or excused absences for • snowstorms • emergency evacuation. • blood donation. • power failure.

Annual Leave

Introduction This map explains annual leave in detail.

Leave accrual



Civilian employees accrue annual leave at the following rates:

	Years of Service		
Category	**Less than 3 years**	**3 to 15 years**	**Over 15 years**
Full time	Four hours per pay period.	Six hours per pay period.	Eight hours per pay period.
Part time	One hour per 20 hours worked.	One hour per 13 hours worked.	One hour per 10 hours worked.

Maximum carryover

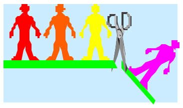
Employees in the United States may carry 30 days of annual leave from one leave year to the next. Overseas employees may carry 45 days.

Use or lose

Employees forfeit annual leave that exceeds the maximum carry-over balance, unless they meet certain conditions. Supervisors must ensure all employees schedule and use their "use or lose" annual leave.

Contact CPAC for information about procedures for restoring lost leave.

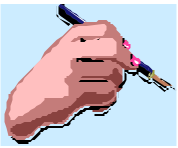
Separation



The government will pay unused annual leave to an employee who separates (resigns, is terminated) from the government.

However, the government will not pay any unused sick leave.

Leave requests



Except for emergencies, employees should submit requests for annual leave in advance. The supervisor has the right to approve or disapprove the leave after considering

- mission requirements.
- status of employee's work assignments.
- needs of other employees.

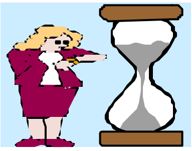
However, employees have the right to take annual leave at some time during the leave year.

Sick Leave

Introduction

This map explains sick leave in detail.

Accrual



Employees accrue sick leave at the following rates:

- Full Time—four hours per pay period.
- Part time—one hour per 20 hours worked.

Note: Employees may accrue sick leave hours without limit.

Retirement credit

Civil Service Retirement System (CSRS) credits unused sick leave towards additional years of service for annuity purposes.

Federal Employees Retirement System (FERS) doesn't credit unused sick towards additional years of service for annuity purposes.

Regardless of category, supervisors should sell the benefits of sick leave conservation to all employees.

Requests for sick leave

To mange sick leave requests in an orderly way, follow these guidelines:
Notification:
If ill and unable to report for duty, request sick leave from the supervisor as soon as possible, usually within two hours of the start of duty.

If too ill to call, a family member or representative may.

Notify the supervisor each day absent, unless the original approval is for a specific number of days.

Approval: Only supervisors or a designated substitute may approve sick leave.

Anticipation: To aid effective work scheduling, employees should submit requests for medical or dental appointments as far in advance as possible.

Guidance: Refer to local agreements or leave policies.

Advancing sick leave

When employees have serious disabilities or illnesses and use all their sick leave, they may request advanced sick leave. Refer to local policy.

Maternity

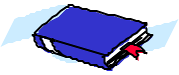
Under the Family and Medical Leave Act, an employee may use a combination of sick leave, annual leave, and leave without pay for maternity purposes.
For more information, contact CPAC.

Sick Leave Abuse

Introduction

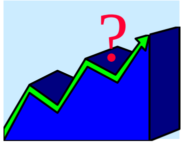
This map outlines procedures for dealing with sick leave abuse.

Definition



Sick leave abuse is inefficient or fraudulent use of sick leave.

Trend analysis



Supervisors should monitor possible adverse trends in sick leave use.

Examples: When someone repeatedly requests sick leave

- on the first day following paydays.
- before or after a holiday.
- on Fridays and Mondays.
- during peak workloads.
- during bad or nice weather.
- when undesirable work is scheduled.
- when denied annual leave.
- as soon as accruing it.
- for many half-days.
- on the same day each week.
- when you think the employee is working another job.
- when the employee's spouse is on leave or children are out of school.

What to do

When noting an adverse trend, realize that many causes are possible. Don't jump to the wrong conclusion. Use sound judgment and communication skills.

Consider these responses:

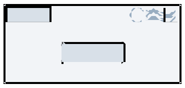
- Investigate the situation.
- Talk to the employee.
- Provide counseling, if appropriate.
- Consult CPAC for advice.

Remember

Remember, it's your decision whether to

- approve or disapprove the employee's next request for sick leave.
- require medical documentation.

Letter



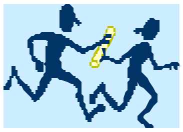
For information about letters of instruction to prevent future sick leave abuse, consult the on-line system, PERMISS, or local CPAC.

Special Programs

Introduction

This map describes two special leave administration programs.

Transfer



If an employee has a medical emergency, he may request participation in the Voluntary Leave Transfer Program.

Under this program, employees may donate portions of their annual leave to an employee who has neither annual nor sick leave to cover a prolonged illness.

Conditions

To participate in the Voluntary Leave Transfer Program, the employee must meet these conditions:

- Emergency must require employee's absence from duty for a prolonged period.
- Result in a substantial loss of income because neither annual nor sick leave are available.
- Requester must use all sick or annual leave before receiving donated leave.
- Employees may donate *use or lose* annual leave only.

The supervisor must monitor the emergency and notify CPAC and CPOC when the emergency ends.

Leave Acts

This table briefly summarizes the

- Family Friendly Leave Act.
- Family and Medical Leave Act.

Topic	Description
Purpose	Provide for use of a combination of types of leave to care for a child, spouse, or parent with serious health condition, or for the birth or placement of the employee's child.
Eligibility	Leave acts cover Title 5 and NAF employees but exclude temporary and intermittent employees. Also, there is a 12-month civilian service requirement.
Entitlement	Provisions include up to 12 administrative work weeks of unpaid leave during any 12-month period. Employee may elect annual leave, sick leave, or other time off as appropriate. Employee must request the leave and cite the Act.

Tips for Leave Administration

Introduction This map explains how to manage leave programs effectively.

Tip#	Description
1	Create a positive work environment with effective work planning. Coordinate the scheduling of large blocks of leave.
2	Become familiar with procedures in local labor agreements and leave regulations.
3	Watch for situations that might give some employees preferential treatment.
4	Charge annual and sick leave in one-hour increments, unless your local procedures are different.
5	Be cautious about granting excused absences. It's your decision whether to charge leave when an employee is late.
6	Be equally cautious about signing time cards or authorizing automated payroll records. Maintain accurate records and note all deviations.
7	Take special care in certifying • environmental pay. • hazardous duty pay. • overtime. • compensatory time.
8	Remember, time and leave management is a leadership function. • Set a good example. • Delegate as much authority to your employees as is practical. • Establish controls. • Concentrate on results by building quality and productivity.

Lesson 10—End-of-Lesson Exercises

Instructions Read the situations and questions and select the best answer.

1. Situation: Steven is an exempt GS-13 employee, who's assigned a crash project. He states that to finish the project by the suspense date, he'll need approved overtime.

   As Steven's supervisor, you should tell him
   a. that you'll approve either compensatory or overtime, since the project is required to meet mission needs.
   b. to file an FLSA complaint.
   c. that Title 5 prevents overtime payment to exempt employees.
   d. to keep track of the extra hours unofficially and then take time off without charge to leave when he finishes the project.

2. Situation: You are a second-level supervisor. Howard, a WG-10 mechanic files an FLSA complaint against his supervisor because he always gets stuck answering the phone during lunch. He usually has to fill in as the work scheduler when the work leader is eating lunch.

   To resolve the complaint
   a. deny the request, since Howard's supervisor didn't approve the overtime in advance.
   b. pay the overtime and direct the supervisor to schedule staggered lunch periods.
   c. tell the work leader or supervisor to give up their lunch period to answer the phone.
   d. refer Howard to the Administrative Grievance System procedure.

3. Situation: Sally is ill for one week. She requests annual leave instead of sick leave.

   As Sally's supervisor, tell her that
   a. since she's sick, she must use sick leave.
   b. you'll approve annual leave as requested, since this type of request is permissible.
   c. to substitute annual leave for sick leave, she must cite the Family Medical and Leave Act.
   d. approve the request but change it to sick leave.

4. Which statement is true?
   a. Federal employees worldwide may only carry 30 days annual leave to the next year.
   b. An employee who quits his job forfeits accrued annual leave.
   c. An employee who quits his job forfeits accrued sick leave.
   d. The supervisor must approve a leave request, regardless of mission requirements.

Continued on next page

Lesson 10—End-of-Lesson Exercises, Continued

---

5. Which statement is true?
   a. Both CSRS and FERS credit sick leave towards retirement.
   b. CSRS credits unused sick leave towards retirement but not FERS.
   c. FERS credits unused sick leave towards retirement but not CSRS.
   d. Neither CSRS nor FERS credit sick leave towards retirement.

---

6. Situation: An employee has reported sick the same day three months in a row.

   You should
   a. deny future sick leave requests.
   b. issue a letter of reprimand for sick leave abuse, and coordinate it with the CPAC.
   c. postpone action until the fourth incidence of sick leave.
   d. investigate by talking to the employee and expressing your concern. Record the results of your meeting.

---

7. The Family Friendly and Family Medical Leave acts
   a. authorize use of various types of leave for maternity purposes.
   b. restrict the type of leave for a child's birth to sick leave.
   c. cover both temporary and permanent employees.
   d. allow for a maximum of six weeks of unpaid leave during a 12-month period.

Lesson 10—Answer Key and Feedback

Instructions Correct choices are highlighted.

---

1. Situation: Steven is an exempt GS-13 employee, who's assigned a crash project. He states that to finish the project by the suspense date, he'll need approved overtime.

   As Steven's supervisor, you should tell him
   a. that you'll approve either compensatory or overtime, since the project is required to
   meet mission needs. (Page 10-4, Title 5)
   b. to file an FLSA complaint.
   c. that Title 5 prevents overtime payment to exempt employees.
   d. to keep track of the extra hours unofficially and then take time off without charge to leave when he finishes the project.

2. Situation: You are a second-level supervisor. Howard, a WG-10 mechanic files an FLSA complaint against his supervisor because he always gets stuck answering the phone during lunch. He usually has to fill in as the work scheduler when the work leader is eating lunch.

   To resolve the complaint
   a. deny the request, since Howard's supervisor didn't approve the overtime in advance.
   b. pay the overtime and direct the supervisor to schedule staggered lunch periods. (Page 10-4, Examples)
   c. tell the work leader or supervisor to give up their lunch period to answer the phone.
   d. refer Howard to the Administrative Grievance System procedure.

3. Situation: Sally is ill for one week. She requests annual leave instead of sick leave.

   As Sally's supervisor, tell her that
   a. since she's sick, she must use sick leave.
   b. you'll approve annual leave as requested, since this type of request is permissible. (Page 10-5, Annual leave)
   c. to substitute annual leave for sick leave, she must cite the Family Medical and Leave Act.
   d. approve the request but change it to sick leave.

Continued on next page

---

4. Which statement is true?
   a. Federal employees worldwide may only carry 30 days annual leave to the next year.
   b. An employee who quits his job forfeits accrued annual leave.
   c. An employee who quits his job forfeits accrued sick leave. (Page 10-6, Separation)
   d. The supervisor must approve a leave request, regardless of mission requirements.

---

5. Which statement is true?
   a. Both CSRS and FERS credit sick leave towards retirement.
   b. CSRS credits unused sick leave towards retirement but not FERS. (Page 10-7, Retirement credit)
   c. FERS credits unused sick leave towards retirement but not CSRS.
   d. Neither CSRS nor FERS credit sick leave towards retirement.

---

6. Situation: An employee has reported sick the same day three months in a row.

   You should
   a. deny future sick leave requests.
   b. issue a letter of reprimand for sick leave abuse, and coordinate it with the CPAC.
   c. postpone action until the fourth incidence of sick leave.
   d. investigate by talking to the employee and expressing your concern. Record the results of your meeting. (Page 10-8, What to do)

---

7. The Family Friendly and Family Medical Leave acts
   a. authorize use of various types of leave for maternity purposes. (Page 10-9, Leave acts, Purpose)
   b. restrict the type of leave for a child's birth to sick leave.
   c. cover both temporary and permanent employees.
   d. allow for a maximum of six weeks of unpaid leave during a 12-month period.

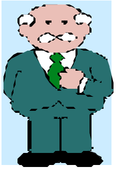
Lesson 11—Army Programs

Overview

Introduction

This lesson briefly covers a range of special emphasis topics. Section B explains certain aspects of supervising military members in your organization.

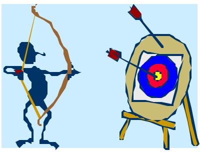
Rationale



A supervisor need not be an expert but must stay informed on various programs the Army emphasizes. You may have responsibilities in these areas, so you can't afford to remain ignorant.

Likewise, if you supervise officers, NCOs, or enlisted soldiers, you must know how military personnel actions affect them, since you may be involved.

Objectives



- Identify supervisory responsibilities in six special emphasis programs.
- Take proper steps when an employee is injured.
- Identify key components of workplace wellness.
- Name six ways to prevent crime in the workplace.
- Use a six-step procedure to assist troubled employees.
- Identify military personnel policies and procedures in which a civilian supervisor may become involved.

In this lesson

This lesson contains two sections, as shown below:

Section A: Special programs

Topic	See Page
Safety	11-2
Wellness in the Workplace	11-3
Equal Employment Opportunity (EEO)	11-4
Security	11-6
Employee Assistance Program	11-7
Management Controls	11-8

Section B: Taking care of soldiers

Topic	See Page
Overview	11-9
Military Duties	11-10
Morale and Welfare	11-11
Military Discipline	11-12
Evaluation Reports and Promotions	11-13
Recognition and Awards	11-14
End-of-Lesson Exercises	11-16
Answer Key and Feedback	11-18

Section A—Special Programs

Safety

Introduction

This map explains the supervisor's role in workplace safety.

Supervisory obligations

Supervisors must ensure workplace safety and can be held liable if they don't.

Supervisors can enhance workplace safety by

- knowing safety standards within their operations.
- minimizing or reducing workplace hazards.
- conducting safety assessments and job hazard analyses.
- ensuring those with disabling conditions are not exposed to like hazards.
- correcting safety deficiencies in the workplace.
- reporting accidents and worker's compensation injuries promptly.
- knowing the provisions of AR 385-10, *The Army Safety Program*.

FECA

The Federal Employees' Compensation Act (FECA) provides for compensation of those injured or disabled on duty. It also provides for compensation of survivors if an employee dies because of duty-related injury or disease.

Injuries

If injured, employees must

- report all injuries immediately. Even minor injuries may become serious.
- submit medical evidence of disability within ten working days, if necessary.
- complete Form CA-1 within 30 calendar days of injury.

Procedure

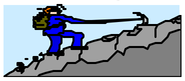
When an employee sustains injury, take these steps:

Step	Action
1	Arrange treatment including first aid. Complete Form CA-16 within 48 hours.
2	Report the accident. Review employee submission and complete Form CA-1.
3	Follow up on the employee's medical progress, complete Form CA-17 as needed, and resolve continuation of pay status.
4	Investigate: Seek witnesses, clues, and circumstances of the accident.
5	Check for fraud. If you suspect the accident is fraudulent, call CPAC.
6	If you suspect fraud *controvert* the claim, especially if the medical report doesn't support a disability that prevents work.
7	Decide. Either • substantiate the employee's claim, or • show doubt of the claim's validity.

Wellness in the Workplace

Introduction This map describes various facets of workplace wellness.

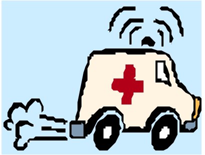
Challenges Key challenges for supervisors are setting the example for a safe environment and encouraging participation in health maintenance programs.



Components Key components of workplace wellness:

Medical insurance	Assure employees are aware of their benefits; educate them with help from the CPAC.
Physical fitness	Publicize local programs and available resources. Also participate in them yourself.
Alcohol and drug abuse	Publicize counseling programs that help troubled employees.
AIDS	Support local education and prevention measures.
Smoking	Assure a smoke-free workplace and enforce regulations.
Stress	Arrange for training in managing and reducing stress. Manage sources of stress in the workplace that you can control.
Protection	Maintain an effective safety program. Ensure people use protective clothing and equipment.

Tips To maintain safe habits and attitudes, follow these tips:



Tip #	Description
1	Know workplace hazards and ensure people know procedures in case of accidents.
2	Encourage people to do their work properly, avoid unnecessary risks, and report hazardous conditions.
3	Instruct people on proper use of equipment. Encourage them to read instructions before using equipment.
4	Know how to apply first aid.
5	Be alert for the need and use of protective clothing and equipment.
6	In an emergency, take charge; get proper medical treatment for injuries; know the location of emergency equipment and how to reach emergency personnel quickly.

Equal Employment Opportunity (EEO)

Introduction

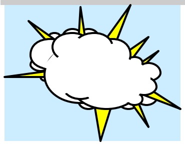
This map explains EEO policy and defines terms.

Policy

All federal employees and applicants for employment must be afforded equal opportunity in employment-related matters. EEO for women, minorities, and individuals with disabilities will be implemented by aggressive affirmative employment programs designed to meet locally established goals and objectives.

Agencies must develop programs to protect employment rights and address under-representation and employment concerns of women, minorities, and individuals with disabilities.

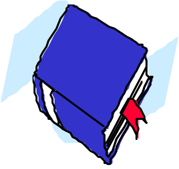
Threats



Overt and systemic discrimination can threaten equal employment opportunity. This takes the form of

- discriminatory practices.
- disparate treatment.
- disparate impact.

Definitions



Discriminatory practices: Practices that interfere with an individual's right to equal opportunity in employment-related issues. Examples:

- Bias in management decisions.
- Presence of a hostile work environment (inappropriate language, jokes, harassment, inaccessible facilities and programs).
- Negligent supervision.
- Failure to uphold merit principles.

Disparate treatment: Treating people differently from others because of race, religion, color, sex, age, origin, or disability.

Disparate impact: Application of a system (e.g., training or merit promotion) that appears to treat everyone alike but adversely affects a certain group.

Reprisal: Action taken against an employee or job applicant for engaging in a protected civil rights activity.

Tips

- Neither discriminate against nor give preference to someone because of race, color, sex, national origin, age, or disability.
- Act at once to correct discriminatory behavior or disparate treatment.
- Work with your EEO Office to develop the Affirmative Employment Plan.
- Consult EEO experts on ways to support affirmative employment efforts.
- Support employees serving in collateral EEO positions.
- Support community outreach and special emphasis programs.

Continued on next page

Sexual harassment

Sexual harassment is prohibited by law and policy. It's a form of sex discrimination involving unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature.

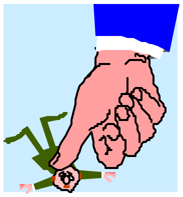
Sexual harassment occurs when
- submission to, or rejection of, such conduct is made either explicitly or implicitly a term or condition of a person's job, pay, career, or
- submission to, or rejection of, such conduct by a person is used as a basis for career or employment decisions affecting that person, or
- such conduct has the purpose or effect of unreasonably interfering with an individual's performance or creates an intimidating, hostile, or offensive work environment.

POSH training

Prevention of Sexual Harassment (POSH) training is an annual requirement. Supervisors should ensure their employees attend training and discuss with them Army policy prohibiting sexual harassment.

Supervisors can and must prevent sexual harassment by
- maintaining a work environment free from any behavior that may create a hostile environment.
- monitoring cues in the environment.
- counseling or disciplining employees who violate standards.
- personally setting and exemplifying high standards through proper behavior.
- stressing personal support for EEO policy.

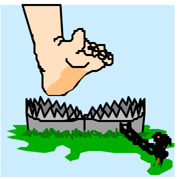
EEO complaints



Employees may file complaints if they perceive discrimination based on race, sex, color, religion, national origin, age, or disability. A complaint is generally filed through the EEO Office. Supervisors should work with the EEO Office and the complainant to resolve complaints informally.

When attempts to resolve a complaint informally fail, the complainant may file a formal complaint. This is time consuming and costly to all involved. In a formal complaint, the alleged discriminatory agency must pay processing costs. Supervisors can help employees, their organizations, and themselves by resolving potential EEO complaints informally and promptly.

Traps to avoid



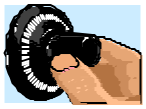
You're inviting an EEO complaint if you
- make decisions on employment or training opportunities based on a person's race, sex, national origin, color, religion, age, or disability.
- improperly conduct an employment interview (see Lesson 3, page 3-10).
- pre-select or favor some employees with details or training so they will gain a higher ranking on a merit promotion list.
- fail to offer accommodation to a disabled person when needed for the job.

Security

Introduction

This map briefly explains terms and responsibilities for security.

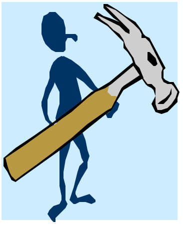
Types of security



Security permeates every function of an organization, including

- personnel.
- operations.
- physical.
- communications.
- ADP.
- information management.

Tasks

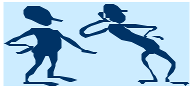
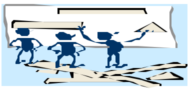


While they vary, a supervisor typically performs these security tasks:

- Determine sensitivity and clearance requirements of positions.
- Arrange for background checks on new employees, and periodically review personnel records to assure employees meet requirements.
- Develop a security plan that covers relevant security functions.
- Undergo a security check at least annually.
- Establish standing operating procedures (SOPs).

Tips

To prevent crime in the workplace, follow these tips:

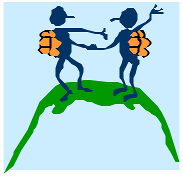
Reporting	Encourage crime reporting. Post local and federal crime hot line numbers on bulletin boards.
Atmosphere	Create a professional atmosphere that shows you expect superior performance from everyone.
Causes 	Obviate potential causes of crime by showing concern for people with problems. If they feel mistreated, they may try to "get even."
Policy	Announce policy on internal thefts and enforce it.
Safeguards	Ensure your security program works so employees, facilities, equipment, and other resources are always safe. Use checklists for facility lockup, maintain property accountability, and keep surrounding areas well lighted at night.
Involvement 	Encourage employee involvement in decisions. This builds commitment, whereby people will safeguard government resources as effectively as their own.

Employee Assistance Program

Introduction

This map briefly explains the Employee Assistance Program.

Goal



The goal of the Employee Assistance Program (EAP) is to assist supervisors in

- identifying employees with drug and alcohol abuse or other personal problems causing deficient work performance.
- motivating employees to seek help.
- providing short-term professional counseling.
- providing support and guidance throughout the problem-resolution period.

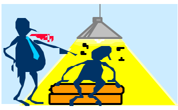
Coverage

EAP covers various problems and uses a variety of resource professionals who have expertise in the problem area.

Problem areas:

- Emotional.
- Financial.
- Marital and family.
- Alcohol or drug abuse.
- Miscellaneous—stress, smoking, office conflicts.

Confidence



Don't attempt to pry information about employees from EAP staff. For the EAP to succeed, those involved must hold information in strict confidence. Ensure that you do not accidentally disclose information.

Procedure

To assist troubled employees and use the EAP, take these steps:

Step	Action
1	Identify employees with deteriorating performance. Examples: • Absenteeism. • On-the-job absenteeism. • Declining work performance. • Attitude or behavioral changes. • Accidents.
2	Counsel employees.
3	Resolve workplace causes, if practical.
4	Refer employees to EAP or other resources.
5	Make reasonable accommodations as appropriate. Note: Drug abuse is not a basis for reasonable accommodation.
6	Assist employees in re-entering the workplace.
7	Be prepared to take appropriate HR actions.
8	Always maintain confidentiality.

Management Controls

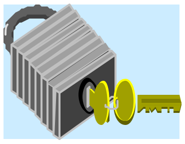
Introduction

This map explains facts, terms, and responsibilities for management controls.

Definition

Management controls are tools managers use to protect resources. Managers install management controls in their daily operations.

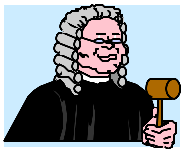
Examples



Examples of management controls:

- Installing security measures (fences, locks, and guards) to protect assets.
- Separating key duties to make theft more difficult.
- Building edit checks into automated systems to prevent erroneous data entry.
- Verifying delivery of goods before paying vendors.
- Inspecting ammunition to identify hazards or verify it's safe to use.

Purpose



The management control process is designed to ensure those responsible

- enforce or follow regulations.
- protect resources from theft, waste, or mismanagement.
- record important transactions properly.
- use information systems to produce accurate data.

Obligations

Supervisors must

- conduct management control evaluations.
- train subordinates in management control procedures.
- promptly correct detected weaknesses.
- report material weaknesses in annual statements or feeder reports.

Key terms

This table defines management controls:

Term	Definition
Management control plan	A five-year schedule for conducting required management control evaluations.
Management control evaluation	A simple assessment of key controls such as observation, sampling, or simulation.
Assessable unit manager	Assessable units are building blocks that make up the organization. The unit manager must be at least a Colonel or GS-15, or at the installation level, a senior functional chief.
Management Control Administrator	The MCA at any level coordinates the management control process, to include establishing the Management Control Plan, ensuring evaluations are done, preparing the annual statement, and tracking material weaknesses to ensure they are corrected.

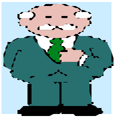
Section B—Taking Care of Soldiers

Overview

Introduction

This section discusses programs and military personnel actions that may involve the civilian supervisor who has military subordinates.

Rationale



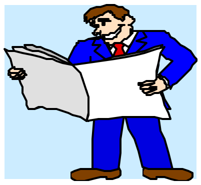
Supervisors are also Army leaders. They must demonstrate the same leadership qualities as their military counterparts. Supervising soldiers entails a few more responsibilities, because you must consider military aspects of the soldier's performance, such as appearance and additional military duties.

Terminology

Unless specific reference is made, we use the term, “soldier” to refer to

- officers.
- warrant officers.
- NCOs.
- enlisted soldiers.

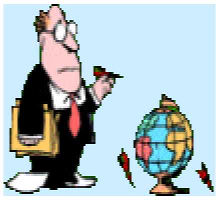
Clarification



Normally, soldiers consult their military leaders about military actions. However, they may look to you for guidance when military expertise is not available or convenient.

Stay informed about military requirements so you can assist soldiers with either professional or personal needs.

Involvement



The degree to which a civilian supervisor will become involved in military-related activities depends in large part on location. If your organization is located at a major installation, most military-related activities and support services will be readily available.

In more remote locations such as recruiting stations or National Guard armories, a civilian supervisor may need to become more involved in assisting soldier subordinates.

In this section

This section contains these topics:

Topic	See Page
Military Duties	11-10
Morale and Welfare	11-11
Military Discipline	11-12
Evaluation Reports and Promotions	11-13
Recognition and Awards	11-14
End-of-Lesson Exercises	11-16
Answer Key and Feedback	11-18

Military Duties

Introduction

This map describes military duties of soldiers who may work for you.

Duties

Soldiers may "work" for you, but they also "serve" in the Army. Consider this when assigning tasks and judging performance.

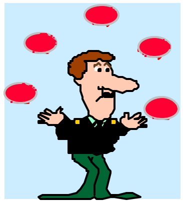
Find out about military duties so you can accommodate them to the soldier's work schedule.

SOP

Use the organization's SOP or write your own to cover military programs as they apply to your activity:
- Administrative policies.
- Leadership philosophy.
- Mandatory classes.
- Security awareness.
- Appearance.
- Physical training.
- Drugs and alcohol.
- Discipline.
- Education.
- Reenlistment.

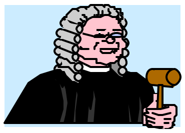
Additional duties

The soldier's main "job" may be in your shop, but often he'll spend time away from work for additional duties, training, or authorized personal obligations.



Examples:
- Investigating Officer.
- Report of Survey Officer.
- Board member.
- Staff Duty NCO.
- Escort Officer.
- Mandatory training and briefings.
- Sick call or medical appointments.
- Qualifications testing.
- Parades and ceremonies.
- Physical training.

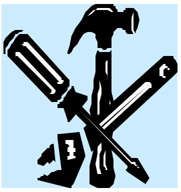
Controls



The time soldiers spend on these activities can mount up. Install controls so you'll know where people are.

Also view these activities in a positive sense. They're a means for professional growth.

Tools



Use these tools to control without over-supervising:
- Duty rosters.
- Training schedules.
- Calendar of events.
- TDY and leave forecasts.
- Sign-out board.

Morale and Welfare

Introduction

This map discusses a few ways of promoting soldiers' morale and welfare. Remember, soldiers are special. Do your part to help take care of them.

Sponsorship

Well before a newly assigned soldier arrives, do a few simple things to prepare him for his new assignment.

- Send a welcome letter and information packet.
- Assign a sponsor with a background similar to the soldier's.
- Have the sponsor call ahead to see if the soldier needs help.
- Update the soldier's duty description.
- Arrange for work space and supplies.
- When the soldier reports for duty, grant extra free time to settle-in, if needed.

Programs and agencies

The Army has established programs and engaged agencies to support soldiers and their families' quality of life.

Examples:

- Army Community Services (ACS).
- Army Emergency Relief (AER).
- The American Red Cross.
- YMCA.
- Learning Resource Center.
- Day Care Center.
- PX, Commissary, Clubs.
- Morale, Welfare, Recreation (MWR).
- Thrift Shop.

Publicizing

Believe it or not, some soldiers still don't know about or use these services. Encourage soldiers to use them. Spread the word with announcements and posters. Also keep a directory available.

Steer soldiers to the right place when they need help. For example, if a soldier approaches you for help on paying debts, refer him to an ACS debt counselor.

Leave

We all need a break from the hassles of work. But in our "can do" Army, many people work too hard and expect everyone else to do the same.

Encourage soldiers to use their annual leave. Set the example—use yours. If you don't take leave, people may think you lack confidence in their ability.

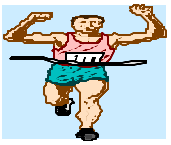
No one is indispensable—not even you.

Military Discipline

Introduction

This map explains the supervisor's role in promoting military discipline.

Appearance and fitness



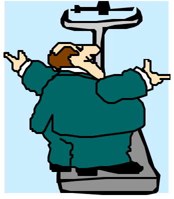
Encourage soldiers to maintain appearance and stay in shape. Give them time for physical training. It's a good investment; people in good shape perform better. Besides, if they fail their PT test, they'll spend extra time away from the job for remedial training.

Set the example: keep yourself well groomed and participate in physical training.

Weight control

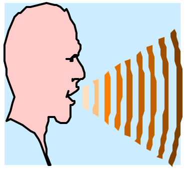
The two-fold purpose of the weight control program is to ensure
- soldiers meet the demands of combat.
- they present a proper military appearance.

Overweight



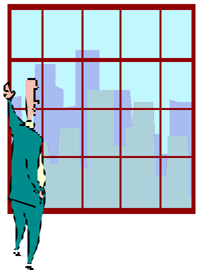
Failure to meet weight standards of AR 600-9 could have these consequences:
- Letter of concern or reprimand.
- Suspension of favorable personnel actions (flagging).
- Relief of duty.
- Bar to reenlistment.
- Administrative separation.

Discipline



Civilian supervisors can take limited disciplinary actions such as reminders, warnings, corrective training, or counseling to correct
- poor job performance.
- minor breaches in conduct—lateness, lack of cooperation.
- poor appearance.

Perspective



Supervisors should resolve minor and occasional incidents themselves through inspirational leadership and counseling. This keeps them out of the more punitive military channels. However, this requires perspective:

Overlooking repeated minor violations will cause them to grow in frequency and magnitude.

Referring every minor breach of conduct to the soldier's commander may earn the supervisor the reputation of being a weak leader.

Serious incident

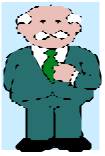
If a serious incident arises—a possible offense under the Uniform Code of Military Justice (UCMJ)—refer it to the chain of command. Civilian supervisors have no authority to mete out punishment—only the military chain can do that.

Evaluation Reports and Promotions

Introduction

This map briefly describes military evaluation reports and promotions.

Rationale



Official evaluation reports are the most important documents affecting the careers of officers and NCOs. What you write can have lasting impact. If unfamiliar with the process, consult with military personnel experts, the command sergeant major, and senior raters.

References

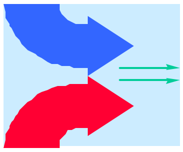
If you rate officers or NCOs, consult these references for guidance:

- AR 623-105, *The Officer Evaluation Reporting System (OERS).*
- DA PAM 623-105, *The OER Guide*.
- AR 623-205, *Noncommissioned Officer Evaluation Reporting System (NCOERS).*

For more information, visit the PERSCOM Web site:

http://www-perscom.army.mil

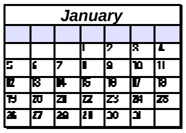
Input



The soldier may work for you, yet be assigned to a headquarters unit for command, administrative, and training purposes. In some cases, he'll have little contact with the unit other than periodic training or occasional additional duties. In other cases, the soldier may have major responsibilities in the unit.

When evaluating performance, get input from the unit so you can credit military achievements on the evaluation report. Also note the soldier's achievements in the community, if these demonstrate initiative and leadership.

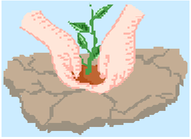
Rating tips



To make OERS and NCOERS work, follow these tips:

- Counsel the rated officer or NCO on schedule.
- Give people a chance to improve before noting mistakes for the record.
- Document poor performance before noting it on the report.
- Involve the rated person in the objectives-setting process.
- Advocate the officer or NCO to the senior rater.
- Submit reports on time.

Promotion



Part of the rewards of being a supervisor will be the satisfaction of watching soldiers grow because of your leadership. Find out what it takes to get promoted and help them where possible.

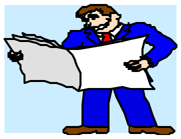
Examples: enrolling in off-duty courses, coaching, awards for jobs well done.

Recognition and Awards

Introduction

This map explains how to recognize soldiers’ achievements.

HTNR



Hometown News Release (HTNR). This program publicizes a soldier's achievement; it also promotes the Army.

If an event is newsworthy, encourage the soldier to get it in the paper. Contact the public affairs officer for assistance.

Examples

Examples of accomplishments worth an HTNR:

- Receipt of an award.
- Assignment to or departure from unit.
- Selection as Soldier of the Quarter.
- Promotion.
- School selection.
- Perfect PT score.

Awards

Use awards to recognize soldiers for solid achievements. It takes time to prepare the paperwork, but it pays off.

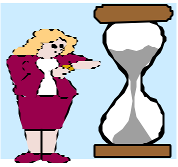
Like most people, soldiers want recognition for hard work. They respond better to positive strokes than to negative ones.

Program

Learn how the awards system works, and then set up your own little program:

- Consult experts and get sample write-ups for each kind of award.
- Get a copy of AR 672-5-1 and blank forms.
- Display DA Poster 360-99, *Armed Forces Decorations and Awards*.
- Maintain a suspense system to ensure every soldier has been considered.
- Verify that the award was entered in official records.

Anticipating



Awards mean more when they’re timely. Speed up the process by preparing paperwork ahead of time. For example, at the beginning of a key project, if all goes well, submit the recommendation as the project nears completion.

Present the award before the soldier departs. The soldier is acknowledged in front of peers, and they see that a good job earns recognition.

Ceremony

Invitation
R.S.V.P.

Awards ceremonies are special occasions. Take time to do them right.

- Invite the recipient's family and the commander if feasible.
- Arrange for photographs and be sure the recipient gets copies.
- Post the photo on the bulletin board.
- Prepare your remarks in advance. Don't "wing it."
- Know the recipient's specific accomplishments.

Lesson 11—End-of-Lesson Exercises

Instructions Answer TRUE or FALSE.

_________ 1. Supervisors should overlook minor injuries occurring on the job.

_________ 2. If employees are *stressed out* from work, the supervisor could arrange for stress management training.

_________ 3. In a formal complaint, the alleged discriminatory agency must pay processing costs.

_________ 4. Involving people in decisions may help to reduce crime in the workplace.

_________ 5. Under the Employee Assistance Program, an employee abusing drugs should be reasonably accommodated.

_________ 6. An example of a management control would be the separation of key duties to make theft more difficult.

_________ 7. When supervising military subordinates, the civilian supervisor should ignore military aspects of their performance.

_________ 8. A soldier's additional duties are a means for professional growth.

_________ 9. A supervisor who doesn't take annual leave may send the wrong message to subordinates.

_________ 10. A civilian supervisor should refer all military disciplinary problems to the chain of command.

_________ 11. If a soldier's achievements in the community demonstrate initiative and leadership, note them on the evaluation report.

_________ 12. Presenting an award in front of peers affirms that a good job earns recognition.

Lesson 11—Answer Key and Feedback

Instructions	Correct answers and page references cited below.

FALSE 1. Supervisors should overlook minor injuries occurring on the job. (Page 11-2, Injuries)

TRUE 2. If employees are *stressed out* from work, the supervisor could arrange for stress management training. (Page 11-3, Stress)

TRUE 3. In a formal complaint, the alleged discriminatory agency must pay processing costs (Page 11-5, EEO complaints)

TRUE 4. Involving people in decisions may help to reduce crime in the workplace. (Page 11-6, Involvement)

FALSE 5. Under the Employee Assistance Program, an employee abusing drugs should be reasonably accommodated. (Page 11-7, Procedure, Step 5)

TRUE 6. An example of a management control would be the separation of key duties to make theft more difficult. (Page 11-8, Examples)

FALSE 7. When supervising military subordinates, the civilian supervisor should ignore military aspects of their performance. (Page 11-9, Rationale)

TRUE 8. A soldier's additional duties are a means for professional growth. (Page 11-10, Additional duties)

TRUE 9. A supervisor who doesn't take annual leave may send the wrong message to subordinates. (Page 11-11, Leave)

FALSE 10. A civilian supervisor should refer all military disciplinary problems to the chain of command. (Page 11-12, Perspective)

TRUE 11. If a soldier's achievements in the community demonstrate initiative and leadership, note them on his evaluation report. (Page 11-13, Input)

TRUE 12. Presenting an award in front of peers affirms that a good job earns recognition. (Page 11-4, Anticipating)

Appendix A—Core Supervisory Competencies

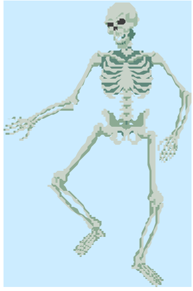
Introduction

This appendix lists core supervisory competencies that form the basis of this subcourse.

Sources

Core supervisory competencies described below derive from several sources, including the Office of Personnel Management and Department of the Army.

Framework



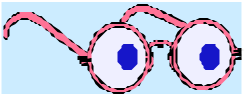
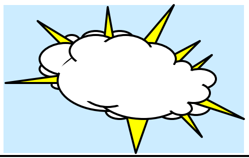
The Civilian Leadership Development Program provides the framework for the core competencies.

Levels: Competencies are identified at each management level:

- Intern or entry level. Foundation competencies developed before placement in a supervisory position.
- Supervisory level.
- Manager level.
- Executive level.

Leading change

This table defines core supervisory competencies required to lead change.

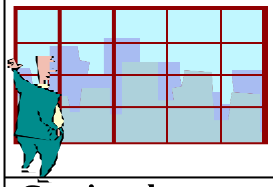
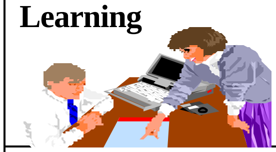
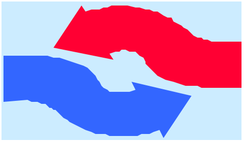
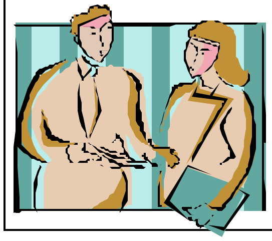
Competency	Description
Vision 	• Takes long-term view and acts as a catalyst for organizational change. • Builds a shared vision and influences others to translate vision into action.
External Awareness 	• Keeps updated on national and international policies and economic, political, and social trends affecting the organization. • Understands near term and long-range plans and determines to achieve a competitive business advantage in a global economy.
Creativity and Innovation 	• Develops insights into situations and applies innovative solutions to make improvements. • Sustains an environment that encourages creative thinking and innovation. • Designs and implements new or cutting-edge programs.

Continued on next page

Appendix A—Core Supervisory Competencies, Continued

Leading change

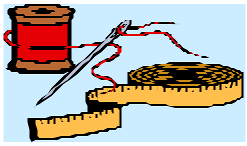
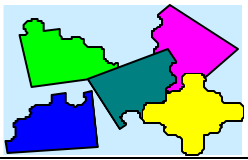
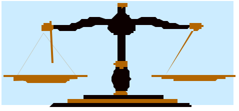
(continued)

Competency	Description
Strategic Thinking 	• Formulates effective strategies consistent with business and competitive strategy of the organization in a global economy. • Examines policy issues and strategic planning with a long-term perspective. • Adjusts strategic policies and plans in response to change.
Continual Learning 	• Grasps the essence of new information. • Masters new technical and business knowledge. • Recognizes own strengths and weaknesses. • Pursues self-development. • Seeks feedback and new learning opportunities.
Resilience	• Deals effectively with pressure. • Maintains focus and intensity. • Remains optimistic and persistent, even under adversity. • Recovers quickly from setbacks. • Effectively balances personal life and work.
Flexibility 	• Open to change and new information. • Adapts behavior and work methods to new information, changing conditions, unexpected obstacles, or ambiguity. • Adjusts rapidly to new situations.
Service Motivation 	• Creates and sustains an organizational culture that encourages others to provide quality of service essential to high performance. • Enables others to acquire tools and support needed to perform well. • Shows a commitment to public service. • Influences others toward a spirit of service and meaningful contributions to mission accomplishment.

Appendix A—Core Supervisory Competencies, Continued

Leading People

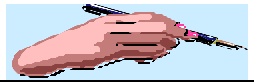
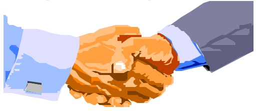
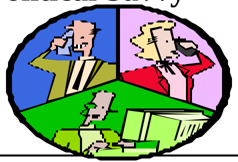
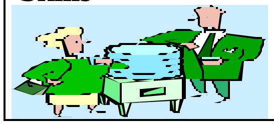
This table defines core supervisory competencies required to lead people.

Competency	Description
Conflict management 	- Identifies and takes steps to prevent potential situations that could result in unpleasant confrontations. - Manages and resolves conflicts and disagreements in a positive and constructive manner to minimize negative impact.
Cultural Awareness 	- Initiates and manages cultural change within the organization to enhance organizational effectiveness. - Values cultural diversity and other individual differences in the workforce. - Ensures the organization builds on these differences and that people are treated fairly.
Team Building 	- Inspires, motivates, and guides others toward goal accomplishments. - Consistently develops and sustains cooperative working relationships. - Encourages and facilitates cooperation within the organization and with customers. - Fosters commitment, team spirit, pride, and trust. - Develops leadership in others through coaching, mentoring, rewarding, and guiding people.
Integrity and Honesty 	- Instills mutual trust and confidence. - Creates a culture that fosters high standards of ethics. - Behaves in a fair and ethical manner towards others. - Demonstrates a sense of corporate responsibility and commitment to public service.

Appendix A—Core Supervisory Competencies, Continued

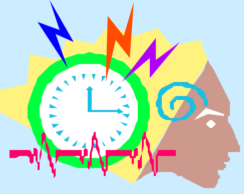
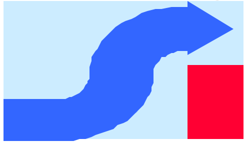
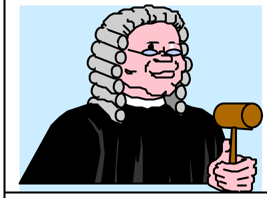
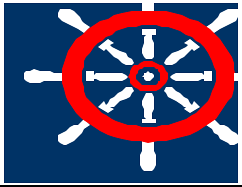
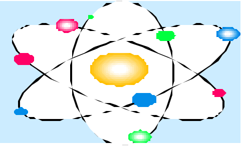
Building Coalitions and Communications

This table defines core supervisory competencies required to build coalitions and communicate effectively.

Competency	Description
Oral Communication 	- Makes clear and convincing oral presentations. - Listens effectively and clarifies information. - Facilitates an open exchange of ideas and fosters an atmosphere of open communications.
Written Communication 	- Expresses facts and ideas in writing in a clear, convincing, and organized manner. - Reviews and critiques the writing of others in a constructive and substantive manner.
Influencing and Negotiating 	- Persuades others. - Builds consensus through give and take. - Gains cooperation to obtain information and accomplish goals. - Facilitates "win-win" situations.
Partnering 	- Develops networks and builds alliances. - Engages in cross-functional activities. - Collaborates across boundaries. - Finds common ground with a widening range of stakeholders. - Uses contacts to build and strengthen internal support bases.
Political Savvy 	- Identifies internal and external politics that affect work of the organization. - Approaches each problem situation with a clear perception of organizational and political reality. - Recognizes impact of alternative courses of action.
Interpersonal Skills 	- Considers and responds appropriately to the needs, feelings, and capabilities of different people in different situations. - Is tactful, compassionate, and sensitive. - Treats others with respect.

Results Driven

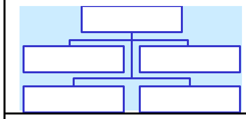
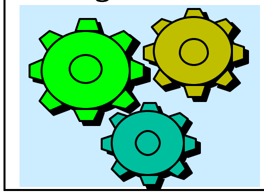
This table defines core supervisory competencies required to achieve results.

Competency	Description
Accountability 	• Assures effective controls are developed and maintained to ensure integrity of the organization. • Holds self and others accountable for rules and responsibilities. • Ensures projects are completed on time and within budget. • Monitors plans, focuses on results, and measures outcomes.
Problem Solving 	• Identifies and analyzes problems. • Distinguishes between relevant and irrelevant information to make logical decisions. • Provides solutions to individual and organizational problems.
Decisiveness 	• Exercises good judgement by making sound and well-informed decisions. • Perceives the impact of decisions. • Makes effective and timely decisions, even if data is limited or solutions produce unpleasant consequences. • Proactive and achievement oriented.
Customer Service 	• Balances interests of a variety of clients. • Readily readjusts priorities to respond to pressing and changing client demands. • Anticipates and meets the needs of clients. • Produces quality products. • Committed to continuous improvement of services.
Entrepreneurship 	• Identifies opportunities to develop and market new products and services within or outside the organization. • Willing to take risks. • Initiates actions that involve deliberate risk to achieve a recognized benefit or advantage.
Technical Credibility 	• Understands and applies procedures, requirements, regulations, and policies related to expertise. • Able to make sound hiring and capital resource decisions and address training and development needs. • Understands linkages between administrative competencies and mission.

Appendix A—Core Supervisory Competencies, Continued

Business Acumen

This table defines core supervisory competencies required to achieve business acumen.

Competency	Description
Financial management 	- Demonstrates broad understanding of principles of financial management and marketing expertise necessary to ensure appropriate funding levels. - Prepares, justifies, and administers the budget for the program area. - Uses cost-benefit thinking to set priorities. - Monitors expenditures that support programs and policies. - Identifies cost-effective approaches.
Human Resources Management 	Using merit principles, ensures staff are appropriately - selected. - developed. - utilized. - appraised. - awarded or counseled to improve performance.
Technology management 	- Uses efficient and cost-effective approaches to integrate technology into the workplace and improve program effectiveness. - Develops strategies by using new technology to enhance decision making. - Understands the impact of technological changes on the organization.

Appendix B—Terms and Acronyms

Introduction This appendix defines frequently used terms and acronyms.

ACCES
Army Civilian Career Evaluation System. Centralized rating and referral system for selected career programs.

ACTEDS
Army Civilian Training, Education, and Development System. A progressive and sequential strategy for developing career program employees.

AL
Annual leave. Leave used for personal business or vacations.

Areas of Consideration
Description of geographical or organizational boundaries of a vacancy announcement and types of applicants eligible to apply.

ASA (M&RA)
Assistant Secretary of the Army (Manpower and Reserve Affairs). Oversees human resource management and related matters.

Deputy ASA (M&RA) for *Civilian Personnel Policy*. Army's Civilian Personnel Director.

AWOL
Absence without leave. Unauthorized absence that may result in disciplinary action.

Bargaining unit
Group of employees represented by a union and referred to as the *bargaining unit*. The bargaining unit is defined when the union is formed.

CLG
Change to Lower Grade.

Competitive detail
Details to a higher-grade position that exceed 120 days and filled through the merit promotion process (see your local plan).

Continued on next page

Competitive promotion
Candidates compete for selection through a structured process based on merit.

CONUS
Continental United States.

COREDOC
Core Document. Functional process improvement or software application for writing position descriptions, KSAs, and performance plans. It classifies positions electronically.

CPAC
Civilian Personnel Advisory Center. On-site office staffed with personnel management specialists who assist clients.

CPOC
Civilian Personnel Operations Center. Regional office that classifies and fills positions, coordinates training and information systems, and maintains official personnel folders (OPFs).

DA Form 1256
Form used to request certain incentive awards.

Detail
Assignment to different duties for a temporary period. May require a position description and personnel action (SF-52).

DEU
Delegated Examining Unit. Rates and ranks job applicants who lack career status.

Discipline
To train, correct, or guide.

Douglas factors
Factors one must consider when assessing possible penalties in disciplinary actions.

EAP
Employee Assistance Program. Provides counseling and referral systems to employees.

EEO
Equal Employment Opportunity.

Continued on next page

FLRA
Federal Labor Relations Authority. Determines negotiability issues and other labor matters.

FLSA
Fair Labor Standards Act. Protects non-exempt employees, especially against overtime abuse.

Formal Discipline
Reprimands, suspensions, demotions, and removals.

FPM
Federal Personnel Manual. Issued by OPM to provide guidance on personnel management. Now mostly obsolete and useful only as a reference to *past practice.*

GETA
Government Employees Training Act.

GS
General Schedule.

GSSG
General Schedule Supervisory Guide

HR
Human resources, as in a human resources system or a human resources specialist.

HRD
Human resource development (formerly, *training and development*). HRD is one of the HR functions.

HRM
Human resource management. Equivalent to *personnel management* in most situations.

ICTAP
Interagency Career Transition Assistance Plan

Informal discipline
Oral admonishments, counseling sessions, written warnings, documentation requirements.

Continued on next page

KSA
Knowledge, skill, or ability. Used to determine qualifications and rank candidates for referral.

LWOP
Leave without pay. Typically used when sick leave or annual leave is exhausted.

MACOM
Major Army command. Top-level command usually headed by a four-star general. Provides a broad spectrum of functions and services to the entire Army. Example: Army Materiel Command (AMC).

Misassignment
Situation in which one's actual job duties don't match the official PD.

MSPB
Merit System Protection Board. Hears and resolves certain employee appeals.

NCO
Non-Commissioned Officer

NCOER
Non-Commissioned Officer Evaluation Report

OER
Officer Evaluation Report

OPF
Official Personnel Folder. Hard-copy file where employee personnel records are kept. Maintained by CPOC. Much OPF information is also stored in an electronic database (DCPDS).

OPM
Office of Personnel Management

On-the-Spot Award (OTS Award)
A small Special Act or Service Award ($25 to $250) awarded for day-to-day accomplishments.

OPM
Office of Personnel Management. Federal regulatory and policy organization for personnel management.

Continued on next page

PD
Position description. A comprehensive description of major responsibilities and duties of a position.

PD Library
A Web site containing electronic copies of properly classified Army position descriptions. Army policy is that supervisors should consult PD Library and COREDOC before writing a new PD.

Performance Award
Cash award recognizing high-level performance for a specific rating period. Tied to performance rating. (See the rating form.)

PERMISS
Personnel Management Information Support System. On-line reference of personnel management concepts and policies. Web site: http://cpol.army.mil/

PERSACTION
Procedure used to submit a personnel action. An electronic version of the Standard Form 52, Request for Personnel Action (SF-52).

Privacy Act
Law that protects people from unwarranted use of personnel records or information. Users of such information must safeguard privacy act information and preserve confidentiality.

Purpose of Discipline
To motivate people to conform to acceptable standards of conduct and to prevent prohibited activities.

QSI
Quality Step Increase. Additional within-grade pay increase awarded to General Schedule employees (must have a rating of Successful Level 1 on performance appraisal).

Reassignment
Permanent assignment to a different position of the same grade. Position could be a different series or title.

SDC
Supervisor Development Course

Continued on next page

SL
Sick leave: Used for medical appointments and illnesses.

Special Act or Service Award
Cash award to recognize meritorious personal effort, act, service, scientific, or other accomplishment within or outside job responsibilities.

TAPES
Total Army Performance Evaluation System. Used to establish performance standards and rate civilian employees.

Time-Limited Promotion
Promotion limited to five years or less. If 120 days or less, may be non-competitive.

Time Off Award (TOA)
Immediate supervisor may award up to one day of time off. Awards exceeding one day and up to 40 hours must be approved at a higher level. A maximum of 80 hours may be granted during a leave year. Does not covert to pay if unused.

TRAIN
Functional process improvement used to request, review, authorize, and evaluate civilian training.

ULP
Unfair Labor Practice. A violation of the labor relations statute. Typically filed by unions against management.

VRA Appointment
Veterans' Readjustment Act Appointment

Weingarten Right
Right of an employee to request representation when under investigation involving an incident that may result in discipline.

WIGI
Within-grade increase. The merit increase one receives after performing at a satisfactory level (Successful Level 3 or higher) for the prescribed waiting period.

Final Examination

Introduction This map explains how to take the final examination.

Instructions

The final examination begins on the next page. It contains 40 multiple-choice questions covering all 11 lessons.

This is an *open-book* exam—you may use the text to find answers.

Note: Please use a No. 2 pencil.

Steps

To take the examination, follow these steps:

Step	Action
1	Fill out administrative data at the top of ACCP Examination Response Sheet (ATSC Form 59).
2	Choose one answer for each question. Tip: To avoid erasures on the examination response sheet, circle answers on the examination first.
3	Transfer answers to ATSC Form 59. Tip: If you must make an erasure on the form, be sure to erase the error cleanly, leaving no smudges.
4	Completely darken lettered oval representing your choice: A, B, C, D.
5	Double-check your answers.
6	Mail completed ATSC Form 59 in return envelope.

Tip Make copies of your marked-up examination and response sheet for your personal records.

Continued on the next page

Introduction Select the one best answer.

---

1. Which is a primary mission of the Civilian Personnel Advisory Center (CPAC)?
   a. Recruitment and placement.
   b. Position classification.
   c. Labor relations services.
   d. Maintenance of employee records.

2. Which role does the supervisor play in the position management and classification process?
   a. Determines manpower requirements.
   b. Settles classification disputes.
   c. Processes personnel actions.
   d. Announces position classification standards.

3. Which occupational groups fall under the general schedule (GS) category?
   a. Wage grade.
   b. Clerical.
   c. Senior Executive Service (SES).
   d. Non-Appropriated Fund.

4. To make minor changes in a position description that don't affect its classification, prepare a
   a. statement of difference.
   b. new position description.
   c. memorandum for record and attach to existing position description.
   d. position description amendment.

5. Which is a supervisory responsibility?
   a. Register new employee for benefits.
   b. Create an official personnel folder (OPF).
   c. Select candidate for hire.
   d. Process security clearance documents for new employee.

6. When planning a staffing action, a supervisor
   a. must select only one recruitment source.
   b. may pursue more than one recruitment source simultaneously.
   c. must fill *internally* before recruiting externally.
   d. must fill *externally* before recruiting internally.

Continued on next page

---

7. Which is a mandatory requirement for supervisors in the selection process?
    a. Consider eligible DoD Priority Placement candidates.
    b. Establish a bridge position.
    c. Create a trainee position.
    d. Develop an upward mobility plan.

---

8. Supervisors are responsible for
    a. rating and ranking all candidates, regardless of source.
    b. separating those who can’t or won’t meet standards.
    c. rating and ranking all internal candidates.
    d. using EEO goals as the basis for selection decisions.

---

9. Which statement best describes Human Resources Development (HRD)?
    a. HRD is a proven tool for supervisors to determine each employee's workload.
    b. HRD programs frequently conflict with organizational HRM (Human Resource Management) requirements.
    c. HRD does not directly address supervisory needs for organizational development.
    d. HRD provides employees the means to perform current and future work.

---

10. Which is a typical supervisor role in the HRD process?
    a. Evaluating HRD programs.
    b. Developing HRD sources.
    c. Providing OJT to employees.
    d. Scheduling training.

---

11. Which statement concerning HRD policy is true?
    a. Supervisors may approve training that’s not mission related.
    b. EEO procedures apply only to hiring, not to selection of people to attend training.
    c. Continued service agreements are required for any training employees receive.
    d. Employees may earn a degree as a result of training.

---

12. Which is a primary supervisory responsibility regarding *transfer of training*?
    a. Providing a work environment that utilizes training.
    b. Planning and delivering training.
    c. Sending people to training to obligate year-end funds.
    d. Assuring life cycle management of employee training.

Continued on next page

---

13. To manage performance effectively one must define expected performance and
    a. rate employees against each other to determine the best.
    b. plan, organize, and coordinate.
    c. develop, review, and reward performance.
    d. rotate cash awards to maximize fairness.

---

14. You just hired a new employee. You must discuss performance objectives within
    a. 30 days.
    b. 60 days.
    c. 90 days.
    d. 120 days.

---

15. Situation: You are Andy Amatoor's supervisor. He occupies a GS-4/5 position. His first year in the position is almost completed, but he is not doing well. He probably expects a promotion, but you don't want to submit the paperwork.

    How should you handle the promotion issue and his performance appraisal?
    a. Promote Andy to GS-05 but counsel him to improve or else.
    b. Take immediate action to remove Andy—his performance is unsatisfactory.
    c. Meet with Andy and discuss the performance objectives he is not meeting.
    d. Ask one of Andy's co-workers how he is doing, then decide.

---

16. Situation: You are Igor Beaver's supervisor. He's a GS-12 being detailed to a special project for 180 days. Duties will differ substantially from his current position.

    What should you do?
    a. Nothing—a new performance plan isn't needed until one year passes.
    b. Develop with Igor new performance objectives for the detailed position. Provide a special appraisal at the end of the detail. Consider this appraisal when you complete the annual appraisal.
    c. At the end of the detail, ask Igor to rate his own performance.
    d. Rate Igor now on the standards for his permanent position and disregard the detail for his current rating period. But give him credit for volunteering for the detail.

---

17. To prepare a justification statement for a Quality Step Increase use
    a. DA Form 1256.
    b. formal letter of recommendation.
    c. DA Form 7222 or 7223.
    d. memorandum for record.

Continued on next page

18. A Special Act or Service Award
    a. may recognize meritorious performance for a special project.
    b. is tied to the performance cycle.
    c. recognizes sustained performance over one's career.
    d. is a purely honorary award for routine accomplishments.

19. Use an On-the-Spot Award when the performance
    a. merits a cash award exceeding $250.00.
    b. is exceptional over a complete rating period.
    c. is exceptional for a short time but not a complete rating period.
    d. is exceptional over several consecutive rating periods.

20. A supervisor can approve a
    a. Time Off Award of one day or less.
    b. Time Off Award of one week or less.
    c. Performance Award.
    d. Superior Civilian Service Award.

21. Which is an example of *formal* discipline?
    a. Oral admonishment.
    b. Counseling session.
    c. Written warning.
    d. Reprimand.

22. Which *online* reference can one use to view the Table of Penalties?
    a. PERMISS.
    b. COREDOC.
    c. TRAIN.
    d. STAIRS.

23. A letter of reprimand
    a. remains in an employee's official personnel folder permanently.
    b. must be preceded by a proposal letter.
    c. should not refer to previous counseling sessions.
    d. may be withdrawn from the official personnel file when certain events occur.

---

24. Which is an acceptable strategy when an employee's job performance doesn't meet standards, and he's been abusing sick leave?
    a. Combine performance-based actions and discipline as a remedy.
    b. Treat each problem separately.
    c. Take disciplinary action before imposing performance-based action.
    d. Take performance-based action before imposing disciplinary action

---

25. Which source provides labor relations information?
    a. PERMISS.
    b. COREDOC.
    c. PERSACTION.
    d. GETA.

---

26. Which agency is empowered to supervise elections?
    a. Civilian Personnel Operations Center.
    b. Federal Mediation and Conciliation Service.
    c. Federal Labor Relations Authority.
    d. Federal Service Impasses Panel.

---

27. Management must notify the union when
    a. making decisions during emergencies.
    b. changing working conditions of bargaining unit employees.
    c. selections for appointments.
    d. defining the organization’s mission.

---

28. An unfair labor practice may occur if Management
    a. selects a non-union member for merit promotion.
    b. determines that a RIF is necessary.
    c. requests a meeting to discuss a pending reorganization.
    d. arbitrarily changes a past practice.

---

29. The Merit Systems Protection Board handles
    a. allegations of discrimination.
    b. allegations of violations of the Fair Labor Standards Act.
    c. appeals submitted by non-bargaining unit employees.
    d. position classification appeals.

---

30. The Administrative Grievance System covers
    a. bargaining unit employees working under a negotiated grievance procedure.
    b. supervisors exclusively.
    c. all categories of employees.
    d. non-bargaining unit employees.

---

31. If a *non*-bargaining unit employee complains to you about his work station arrangement
    a. request your boss to issue a written decision within 21 days.
    b. resolve the issue within 15 days through a problem-solving process.
    c. issue a written decision yourself within 30 days.
    d. contact the union to provide the employee a representative.

---

32. Which procedure or agency is designed exclusively to resolve complaints by bargaining unit employees on matters the labor agreement covers?
    a. Negotiated Grievance Procedure.
    b. Inspector General.
    c. Administrative Grievance Procedure.
    d. Merit System Protection Board.

---

33. Who is responsible for counseling people who abuse sick leave?
    a. Union.
    b. Supervisor.
    c. Civilian Personnel Advisory Center.
    d. Civilian Personnel Operations Center.

---

34. Which statement is true?
    a. Non-exempt employees may voluntarily work overtime without compensation.
    b. Exempt employees working overtime without approval will be denied compensation.
    c. Exempt employees working overtime without approval will still be compensated.
    d. A supervisor may direct a non-exempt employee to request compensatory time.

---

35. Which statement is true?
    a. Federal employees worldwide may carry only 30 days annual leave to the next year.
    b. An employee who quits his job forfeits accrued annual leave.
    c. An employee who quits his job forfeits accrued sick leave.
    d. The supervisor must approve a leave request, regardless of mission requirements.

---

36. Which statement is true?
    - a. Both CSRS and FERS credit sick leave towards retirement.
    - b. CSRS credits unused sick leave towards retirement but not FERS.
    - c. FERS credits unused sick leave towards retirement but not CSRS.
    - d. Neither CSRS nor FERS credit sick leave towards retirement.

37. If an employee becomes injured on the job, then
    - a. gather information to controvert any claims.
    - b. post or point out the cause of the injury to other workers—avoids future problems.
    - c. administer or summon first aid and initiate paperwork.
    - d. place him on sick leave until cause of the injury can be determined.

38. Information that an employee provides to Employee Assistance staff should be
    - a. disclosed to anyone who asks for it.
    - b. held in strict confidence.
    - c. disclosed to the supervisor if requested.
    - d. disclosed to the chain of command.

39. Which are the most important documents in an officer's or NCO's file?
    - a. Official evaluation reports.
    - b. Promotion certificates.
    - c. Academic diplomas.
    - d. Awards.

40. An officer is about to complete a major project, saving the command millions of dollars. You should
    - a. write a letter of appreciation.
    - b. thank the officer.
    - c. note it for next year's evaluation report.
    - d. submit an award recommendation to match the accomplishment.